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ABSTRACT

This study addresses four questions: (1) What types of performance appraisal policy for educational staff have been adopted by Ontario school boards? (2) To what extent have these policies been implemented in practice? (3) What types of appraisal policies are most effective? and (4) What processes have school boards used to develop and implement their appraisal policies? To answer these questions, policies for the appraisal of teachers, principals, superintendents, and directors were requested from all 126 public boards of education or county and district Roman Catholic separate school boards in Ontario. Based on the responses, typologies were developed for appraisal practices for each of the roles under study, and questionnaires based on these typologies were administered to teachers, principals, superintendents, trustees, and directors in a stratified sample of 30 representative school boards. Percentage distributions were prepared for all characteristics included in the typologies of performance appraisal policy, revealing which practices were most widespread, and the characteristics of appraisal systems were correlated with their effects on the attitudes and behavior of those evaluated. Finally, individual case study reports were used to prepare a comparative analysis. Findings, reported in detail, suggest that formal appraisal systems can be effective, but that more effort must be made in implementing policies, and that stronger linkages are needed between performance appraisal and school boards' goals, organization, and job descriptions. (TE)

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DEVELOPMENT AND USE OF PERFORMANCE APPRAISAL OF CERTIFICATED EDUCATION STAFF IN ONTARIO SCHOOL BOARDS

Volume I: Technical Report

Professionalism in Schools Series

S. B. LAWTON, Principal Investigator
E.S. HICKCOX
K.A. LEITHWOOD
D.F. MUSELLA

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The Honourable Sean Conway, Minister

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CONTENTS

LIST OF TABLES iv

LIST OF FIGURES ix

ABSTRACT xi

ACKNOWLEDGEMENTS xv

CHAPTER 1: INTRODUCTION 1

- Purpose of Study 1
- Design of Study 2
- Framework for Study 2
- Overview 6

CHAPTER 2: PERFORMANCE APPRAISAL POLICIES IN ONTARIO SCHOOL BOARDS 8

- Methods of Data Collection and Analysis 8
- Results 13
- Summary 100

CHAPTER 3: SURVEY OF PERFORMANCE APPRAISAL PRACTICES: DESCRIPTION OF FINDINGS 104

- Survey Methods 105
- Results 116
- Summary 240

CHAPTER 4: CASE STUDIES OF PERFORMANCE APPRAISAL PRACTICES: A CROSS-CASE ANALYSIS 251

- Purpose of Case Studies 251
- Method 252
- Results 255
- Summary and Conclusion 268
- References 271

CHAPTER 5: CONCLUSIONS AND IMPLICATIONS 272

- Preparation 272
- Data Collection 276
- Reporting and Follow-Up 277
- Evolution of Policy 277
- Impact of Policy and Practice 278
- Summary 279

LIST OF TABLES

1 Distribution of Ontario School Boards by Region and by Type 13

2 Distribution of Boards by Year of Adoption of Current Appraisal System for Teachers and by Type 14

3 Distribution of Boards by Year of Adoption of Current Appraisal System for Principals and by Type 15

4 Distribution of Boards by Year of Adoption of Current Appraisal System for Superintendents and by Type 15

5 Distribution of Boards by Year Adoption of Current Appraisal System for Directors and by Type 16

6 Distribution of Boards by Year of Adoption of Current Appraisal System for Others and by Type 16

7 Degree of Implementation of Teacher Appraisal System by Type of Board 17

8 Degree of Implementation of Principal Appraisal System by Type of Board 18

9 Degree of Implementation of Superintendent Appraisal System by Type of Board 18

10 Degree of Implementation of Director Appraisal System by Type of Board 18

11 Degree of Implementation of Other Appraisal Systems by Type of Board 19

12 Effectiveness of Teacher Appraisal Systems in Achieving Their Objectives by Type of Board 19

13 Effectiveness of Principal Appraisal Systems in Achieving Their Objectives by Type of Board 20

14 Effectiveness of Superintendent Appraisal Systems in Achieving Their Objectives by Type of Board 20

15 Effectiveness of Director Appraisal Systems in Achieving Their Objectives by Type of Board 20

16 Effectiveness of Appraisal Systems for Others in Achieving Their Objectives by Type of Board 21

17 Effectiveness of Appraisal Systems in Achieving School Objectives by Type of Board 21

18 Effectiveness of Appraisal Systems in Achieving School System Objectives by Type of Board 21

19 Number and Percentage of Boards Specifying Particular Components in Teacher Appraisal Policies 22

20 Number and Percentage of School Boards Specifying Particular Primary and Contributing Evaluators in Teacher Appraisal Policies 33

21 Number and Percentage of Boards Specifying Particular Frequencies of Evaluation for Permanent and Probationary Teachers 34

22 Number and Percentage of Boards Specifying Particular Numbers of Observations Per Evaluation for Teachers 35

23 Number and Percentage of Boards Specifying Particular Components in Principal Appraisal Policies 48

24 Number and Percentage of School Boards Specifying Involvement of Various Groups as Primary Evaluators and as Contributing Evaluators 62

25 Number and Percentage of Boards Specifying Particular Frequencies of Appraisal for Principals 66

26 Number and Percentage of Boards Specifying Particular Numbers of Days Per Appraisal for Principals 66

27 Number and Percentage of Boards Specifying Particular Components in Superintendent Appraisal Policies 76

28 Number and Percentage of Boards Specifying Particular Components in Director Appraisal Policies 92

29 Sample Design for Performance Appraisal Survey 107

30 Effect of Weighting on Estimates of the Percentage of Teachers with Degrees Using Board and Individual as Units of Analysis 114

31 Distribution of ELS Teachers by Region and by Type of School 117

32 Method of Beginning Teacher Last Evaluation by Type of School, as Reported by Teachers 118

33 Person(s) Setting Teacher Evaluation Objectives by Type of School, as Reported by Teachers and Principals 119

34 Actual and Ideal Purposes of Teacher Evaluations, as Reported by Teachers and Principals 121

35 Actual and Ideal Criteria in Teacher Evaluation, as Reported by Teachers 123

36 Actual and Ideal Persons Providing Teacher Evaluation Information, as Reported by Teachers 126

37 Actual and Ideal Methods of Collecting Teacher Evaluation Information, as Reported by Teachers 127

38 Actual and Ideal Types of Teacher Evaluation Information, as Reported by Teachers, Principals, and Superintendents 127

39 Actual and Ideal Number of Observations During Teacher Evaluation, as Reported by Teachers, Principals, and Superintendents 129

40 Actual and Ideal Frequency of Post-Observation Conferences for Teacher Evaluation, as Reported by Teachers and Principals 130

41 Actual and Ideal Persons Involved in Developing and Approving Teacher Evaluation Policies, as Reported by Teachers 136

42 Teacher, Principal, and Superintendent Opinions on the Feasibility and Desirability of Separate Teacher Evaluation Systems for Administrative and Developmental Purposes 138

43 Degree of Improvement in Teacher Performance After Evaluation, as Reported by Teachers and Superintendents .. 144

44 Relationship of Planning for Evaluation to Intervening Effects of Teacher Evaluation 146

45 Relationship of Planning for Evaluation to Effectiveness of Teacher Evaluation 147

46 Relationship of Purposes and Criteria for Evaluation to Intervening Effects of Teacher Evaluation 149

47 Relationship of Purposes and Criteria for Evaluation to Effectiveness of Teacher Evaluation 150

48 Relationship of Sources and Types of Information Used to Intervening Effects of Teacher Evaluation 151

49 Relationship of Sources and Types of Information Used to Effectiveness of Teacher Evaluation 152

50 Relationship of Who Collected Information and Time Spent on Evaluation to Intervening Effects of Teacher Evaluation 154

51 Relationship of Who Collected Information and Time Spent on Evaluation to Effectiveness of Teacher Evaluation 155

52 Relationship of Reporting and Follow-up to Intervening Effects of Teacher Evaluation 156

53 Relationship of Reporting and Follow-Up to Effectiveness of Teacher Evaluation 158

54 Relationship of Evolution and Implementation of Policy Intervening Effects of Teacher Evaluation 160

55 Relationship of Evolution and Implementation of Policy to Effectiveness of Teacher Evaluation 161

56 Relationship of Background Variables to Intervening Effects of Teacher Evaluation 162

57 Relationship of Background Variables to Effectiveness of Teacher Evaluation 164

58 Distribution of Principals by Region and by Type of School 168

59 Actual and Ideal Purposes of Principal Evaluation, as Reported by Principals 170

60 Actual and Ideal Critera Used in Principal Evaluation, as Reported by Principals, Teachers, Superintendents, and Directors 172

61 Actual and Ideal Types of Information Used in Principal Evaluation, as Reported by Principals, Superintendents, and Directors 175

62 Actual and Ideal Amount of Time Involved in Collecting Principal Evaluation, Information, as Reported by Principals, Superintendents, and Directors 178

63 Degree of Fidelity of Practice to Policy in Principal Evaluation, as Reported by Principals, Superintendents, and Directors 183

64 Degree of Improvement in Principal Performance After Evaluation, as Reported by Principals, Teachers, and Directors 185

65 Relationship of Planning for Evaluation to Intervening Effects of Principal Evaluation 186

66 Relationship of Planning for Evaluation to Effectiveness of Principal Evaluation 187

67 Relationship of Purposes and Criteria for Evaluation to Intervening Effects of Principal Evaluation 188

68 Relationship of Purposes and Criteria for Evaluation to Effectiveness of Principal Evaluation 189

69 Relationship of Sources and Types of Information Used to Intervening Effects of Principal Evaluation 191

70 Relationship of Sources and Types of Information Used to Effectiveness of Principal Evaluation 192

71 Relationship of Who Collected Information and Time Spent on Evaluation to Intervening Effects of Principal Evaluation 194

72 Relationship of Who Collected Information and Time Spent on Evaluation to Effectiveness of Principal Evaluation ... 195

73 Relationship of Reporting and Follow-Up to Intervening Effects of Principal Evaluation 197

74 Relationship of Reporting and Follow-Up to Effectiveness of Principal Evaluation 198

75 Relationship of Evolution and Implementation of Policy Intervening Effects of Principal Evaluation 200

76 Relationship of Evolution and Implementation of Policy to Effectiveness of Principal Evaluation 201

77 Relationship of Background Variables to Intervening Effects of Principal Evaluation 203

78 Relationship of Background Variables to Effectiveness of Principal Evaluation 204

79 Distribution of Superintendents by Region and by Type of Board 206

80 Actual and Ideal Criteria for Superintendent Appraisal, as Reported by Superintendents 208

81 Actual and Ideal Sources of Information for Superintendent Appraisal, as Reported by Superintendents . 211

82 Actual and Ideal Types of Information Used in Superintendent Appraisal, as Reported by Superintendents . 212

83 Distribution of Directors by Region and by Type of Board . 219

84 Actual and Ideal Criteria Used in Director Appraisal, as Reported by Directors and Trustees 221

85 Actual and Ideal Types of Information Used in Director Appraisal, as Reported by Directors and Trustees 224

86 Age Distribution of Respondents by Role of Respondent 231

87 Highest Academic Qualification of Respondents by Role of Respondent 233

88 Experience of Respondents by Role of Respondent 234

89 Appraisals of Respondents by Year and by Role of Respondent 236

90 Means and Standard Deviations of Staff Under Review Between September 1981 and May 1983 by Staff Category and by Type of Board, as Reported by Directors 237

91 Means and Standard Deviations of Staff Terminated for Unsatisfactory Performance Between September 1981 and May 1983 by Staff Category and by Type of Board, as Reported by Directors 237

92 Means and Standard Deviations of Actions Filed Against Boards Between September 1981 and May 1983 by Type of Action and by Type of Board, as Reported by Directors 238

93 Sample in Case Boards Responding to Interviews/ Questionnaires 254

94 Preparation for Appraisal According to System Components and Staff Role in Each Case Board 257

95 Data Collection for Appraisal According to System Components and Staff Role in Each Case Board 260

96 Reporting and Follow-Up for Appraisal According to System Components and Staff Role in Each Case Board 262

97 Evolution of Appraisal Policy and Practice According to System Components and Staff Role in Each Case Board 264

98 Impact of Appraisal Policy and Practice According to System Components and Staff Role in Each Case Board 266

LIST OF FIGURES

1 Systems Model for Performance Appraisal 3

2 Screening Questionnaire 10

3 Objective-Setting by Teachers (Policy Excerpt) 30

4 Evaluation Procedures for Teachers Whose Performance Is Unsatisfactory (Policy Excerpt) 39

5 Review of Teacher Evaluation Policy (Policy Excerpt) 46

6 Criteria for Principal Appraisal (Policy Excerpt) 54

7 Objective-Setting by Principals (Policy Excerpt) 58

8 Role of Evaluation Team in Principal Appraisal (Policy Excerpt) 63

9 Planning for Principal Improvement Following Appraisal (Policy Excerpt) 68

10 Resources for Professional Assistance for Principal Improvement Following Appriasal (Policy Excerpt) 69

11 Differentiation of Principal Appraisal System into Two Types (Policy Excerpt) 72

12 Criteria for Superintendent Appraisal (Policy Excerpt) ... 83

13 Superintendent Responsibilities (Policy Excerpt) 84

14 Resources for Assistance for Superintendent Improvement Following Appriasal (Policy Excerpt) 90

15 Differentiation of Superintendent Appraisal System into Two Types (Policy Excerpt) 91

16 Trustee Evaluation Form for Director Appraisal (Policy Excerpt) 97

ABSTRACT

This study addresses four questions: What types of performance appraisal policy for educational staff have been adopted by Ontario school boards? To what extent have these policies been implemented in practice? What types of appraisal practices are most effective? And, what processes have school boards used to develop and implement their appraisal policies?

To answer these questions, policies for the appraisal of teachers, principals, superintendents, and directors were requested from all 126 public boards of education or county and district Roman Catholic separate school boards in Ontario. Based on the responses received from 94 per cent of these boards, typologies were developed for appraisal practices for each of the roles under study. Subsequently, English-language questionnaires based on these typologies were developed and administered to samples of 5655 teachers, 1211 principals, 214 superintendents, and 150 trustees, and to all directors, in a stratified sample of 30 school boards representing the four regions of Ontario and school systems of both type, of different size, with different proportions of francophone students, and with different types of appraisal system. Response rates for the survey were 72 per cent for teachers, 73 per cent for principals, 53 per cent for superintendents, 87 per cent for directors, and 50 per cent for trustees. French versions of the questionnaires were administered to 201 teachers, 31 principals, and 10 trustees in two school boards with large percentages of francophone students; response rates were 69 per cent, 84 per cent, and 50 per cent, respectively. Finally, eight case studies were conducted to provide data for a comparative analysis of the development, implementation, and effectiveness of performance appraisal policies.

Different modes of analysis were used at different stages of the study. Percentage distributions were prepared for all characteristics included within the typologies of performance appraisal policy, revealing which practices were most widespread. Percentage distributions, broken down by type of school (public elementary, public secondary, and separate) were prepared for all questionnaire items; responses on a given item were then compared for individuals in different roles and with different languages of instruction. For teachers and principals, a correlational analysis was carried out to determine which characteristics of appraisal systems were associated with the impact of appraisal systems on

the attitudes and behaviour of those evaluated. Finally, individual case study reports were prepared, and a comparative analysis of these written.

The typologies used for all roles included five major categories: preparation for evaluation, data collection, reporting and follow-up evolution of policy, and impact of policies and practice.

Findings of importance include the following:

1. As of November 1982, 73 per cent of all school boards in Ontario had adopted policies for teacher evaluation; 53 per cent for principals; 42 per cent for superintendents; and 36 per cent for directors.

2. Policies tended to become less detailed for positions higher in the hierarchy; objectives-based appraisals, though occurring at all levels, were more frequently used for positions higher in the hierarchy.

3. The primary purpose of appraisal at all levels was developmental; appraisal for administrative purposes was somewhat more common at the director's level.

4. Evaluation by a single individual is most common at all levels, except that of director, though information was often collected from several sources. Specifying the length of time required to collect information was common for teachers and principals, but rare for superintendents and directors.

5. Requirements for written reports and plans to follow up on appraisal are most common for teachers, less common for principals and superintendents, and least common for directors.

6. For the most part, practices followed policies quite closely; where differences were reported, they often reflected a failure to maintain proper schedules, to do required numbers of observations, and the like. Those who were evaluated were more likely to report such discrepancies than were those who conducted the evaluations.

7. Typically, evaluation was reported to increase the morale of staff members and to provide them with a few ideas on how to improve. The most impact was reported by superintendents and the least by teachers. Directors were the only group whose morale was not increased by appraisal.

8. Characteristics of appraisal systems associated with more effective teacher or principal appraisals included the holding of pre-evaluation conferences, longer pre-conferences, clear communication of purposes of the appraisal, the use of general and specific notes, reports under several headings, post-evaluation conferences, and the making of plans. Characteristics associated with less effective appraisals included the use of student absenteeism data and appraisals that began with informal visits from the evaluator.

9. Appraisal of administrators, especially of principals and superintendents, is seen as being more effective than that of teachers, even though policies for the latter are more detailed. The burden of appraising large numbers of teachers may make the relative effort devoted to each teacher's appraisal much less than that devoted to each administrator's appraisal.

10. Most respondents would prefer more sources of data be used in their appraisal; use of self-evaluation questionnaires was approved by all groups, but rarely used in practice.

11. Appraisal criteria related to out-of-classroom activities were not widely supported among teachers, though separate school and francophone teachers were more supportive of their use than were teachers in public boards of education. A similar situation with regard to out-of-school activities applies to principals. Superintendents and directors believe more emphasis in their own appraisal should be placed on knowledge of laws and regulations; directors believe more emphasis should be placed on their knowledge of schools and programs.

12. Placing staff under review, dismissal of staff, and the filing of appeals, grievances, and lawsuits by staff were least common in school boards where appraisal systems were reported to be most effective.

Several conclusions are drawn from the study. First, formal appraisal systems clearly can be effective; they need not be hollow rituals, as some have suggested. Second, more effort must be made in implementing policies; both evaluators and evaluatees need to know how to use evaluation processes effectively. Third, stronger linkages are needed between performance appraisal and school boards' goals and objectives, their organizational structure, and the job descriptions for individual positions. Results of appraisal are too rarely used to improve school board organization to prevent recurring problems that become evident in appraisal, such as the lack of consensus over the role of the teacher in activities outside the classroom. To accomplish this end, formal reviews of appraisal practices and their effectiveness are needed.

ACKNOWLEDGEMENTS

The co-operation and efforts of a great many people are required in order to realize a major research project such as this study of performance appraisal practices in Ontario school boards. Both their numbers and the necessity for confidentiality, however, prevent our naming those to whom we are most grateful: the 5000 teachers, principals, superintendents, directors, and trustees in 30 school boards who responded to our questionnaires; the administrators in over a hundred school boards who responded to our request for copies of their current evaluation policies; and especially the nine school boards that served as sites for case studies (including the board which was used to "pilot test" the research procedures).

Members of the Advisory Group designated by the Ministry of Education can be thanked by name: Bruce Archer, Noel Clark, Bert Chalmers, Sandra Gaskell, Robert Lefebvre, and Mike Prokopich. This group acted as a sounding board and helped to keep the research team on track throughout the two years required for the study. The able guidance of Peter Nightingale of the Research and Information Branch of the Ministry of Education, who acted as the supervisory officer on the project and chair of the Advisory Group, was particularly appreciated.

The research itself involved a large number of individuals. Central among these was Mary Stager, full-time research officer on the project, who co-ordinated all research activities, including the surveys, case studies, and preparation of reports, conducted interviews for case studies, and prepared statistical analyses of questionnaire data reported in Volume Two of the Technical Report. In addition, she is author of the chapter on evaluation policies in Volume One of the Technical Report. She was ably assisted on a part-time basis by two other research officers: Monique Belanger, who translated questionnaires into French and conducted interviews with franco-Ontarian educators, and Nancy Watson, who conducted many of the interviews on which the case studies were based.

Two graduate assistants, provided by the Department of Educational Administration, OISE, undertook special analyses. David To analysed data from the screening questionnaire, and Susan Sydor synthesized the open-ended responses on questionnaires from directors and superintendents. Secretarial services for the project were provided by: Elaine Tanenzapf, who helped to organize and administer the screening survey; Loukritia Prattas, who transcribed many of the interview notes; Monique Nicole, who typed the French-language questionnaires; and

Elizabeth Fear, who served as the project secretary -- transcribing notes, typing interim reports, and preparing the manuscripts for the final reports. As well, assisted by Paul Chau and John Chen, two secondary school students employed part-time during the summer of 1983, she was responsible for keying much of the data and editing the data files in preparation for analysis. The quality of the work evident in this report reflects her commitment to excellence, a commitment that deserves both our respect and appreciation.

CHAPTER 1

INTRODUCTION

Purpose of Study

The purpose of this report is to describe, in considerable detail, the findings of a major study of current performance appraisal policies and practices in Ontario school boards. The study, conducted under contract with the Ontario Ministry of Education, sought to answer four questions: What types of performance appraisal policy for educational staff have been adopted by Ontario school boards? To what extent have these policies been implemented in practice? What types of appraisal practices are most effective? And, what processes have school boards used to develop and implement their appraisal policies?

To answer these questions, the scope of the research called for in the contract set out six objectives:

1. To collect, from all Ontario school boards, existing policies, procedures, and instruments for the performance appraisal of teachers, principals, and supervisory officers, including the chief executive officer;
2. To develop a typology of appraisal systems and prepare a report describing their distribution among Ontario school boards;
3. To survey teachers, principals, supervisory officers, and trustees in a representative sample of boards to determine the extent of implementation of the appraisal system in each board, its perceived level of effectiveness, and the staff's satisfaction with it;
4. To prepare a statistical report describing and analysing survey results;
5. To select, from the sample of boards, eight and to conduct case studies in them;
6. To prepare and submit to the Minister two final reports, one technical and one non-technical, describing these studies.

The investigation was to be thorough, with attention paid to public and separate boards, boards in all regions in Ontario, and boards in which French was the language of a large proportion of the population.

Design of Study

Since detailed descriptions of each phase of the project are provided in subsequent chapters, only an overview of the study's strategies is presented here.

For the most part, this was treated as an exploratory study in which each stage was built on the previous stages. First, existing policies on the performance appraisal of teachers, principals, superintendents, and directors were requested from all Ontario school boards. As well, additional information needed to select a sample of school boards was collected on a brief screening questionnaire. Second, the appraisal policies collected were analysed to develop a typology, the framework for which is sketched below. Third, a description of the frequency of different types of policy element was prepared. Fourth, questionnaires were developed based upon the typology; these were sent to school boards in diverse settings with diverse kinds of appraisal policy. Fifth, statistical data from the survey were analysed. Sixth, eight school boards were selected for case studies which probed the developmental processes and the like that could not be adequately captured in a questionnaire survey. Finally, reports were prepared describing the results.

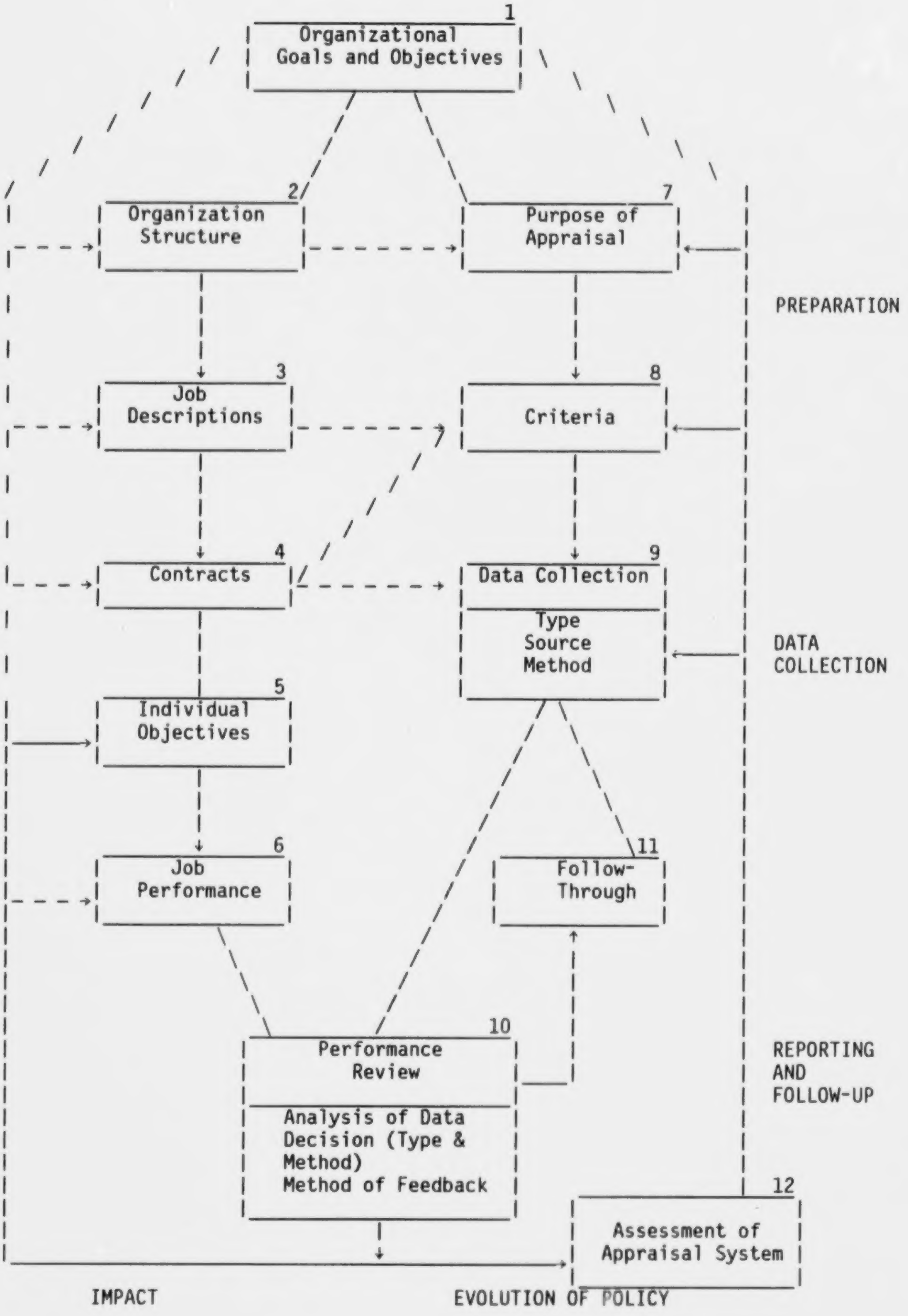
The study took place over a 23-month period from October 1982 to August 1984. Policies were collected in late 1982; the English-language questionnaire survey was conducted in spring 1983; seven case studies and the French-language questionnaire survey were conducted in fall 1983; the remaining case study, in a board with a large proportion of francophone students, was carried out in winter 1984. The final reports were prepared during the spring and summer of 1984.

Framework for Study

To ensure an organized approach to the topic of this study, we developed a framework or model, displayed in figure 1, that maps out the organizational structure and processes involved in performance appraisal systems. The framework should be looked upon as a device to organize materials and ideas, not a prescriptive model for action.

Figure 1

Systems Model for Performance Appraisal


1
Organizational Goals and Objectives
2
Organization Structure
3
Job Descriptions
4
Contracts
5
Individual Objectives
6
Job Performance
7
Purpose of Appraisal
8
Criteria
9
Data Collection
Type
Source
Method
10
Performance Review
Analysis of Data
Decision (Type & Method)
Method of Feedback
11
Follow-Through
12
Assessment of Appraisal System
PREPARATION
DATA COLLECTION
REPORTING AND FOLLOW-UP
IMPACT
EVOLUTION OF POLICY

The left half of the model describes the organizational structure of a school board. Beginning with goals and objectives, a school board creates schools, departments, and units of various types, each with its own responsibilities, so that the overall goals can be achieved. An important component of any unit is the job descriptions that are developed for positions within that unit. In the case of schools, the job descriptions for teachers and principals are clearly the most central, but, with the increased size and complexity of educational systems, there are numerous jobs sufficiently unique to warrant their own description.

With collective bargaining, the nature of the employment contract has become of increasing importance; debates about changes in the role of staff, particularly teachers, are often resolved at the bargaining table. Individuals, with their own motivations, work within the constraints imposed (or opportunities created) by their job descriptions and contracts. The quality of their performance on the job is a major determinant of the success with which the system as a whole achieves its objectives. This brings us to the topic of performance appraisal.

If all individuals always performed at their best, if in hiring people one could always be correct in one's judgement, if the abilities of individuals never declined, if new demands were never placed on employees, then one would have no need for staff appraisal procedures. Given these conditions are never met, some type of evaluation of employees is necessary.

The major thrust in recent decades, as far as staff evaluation is concerned, has been the need to improve day-to-day supervision. Formal systems of evaluation, especially that used for teachers, fell into disrepute. Such formal systems, often involving brief observations of a teacher in the classroom, were condemned as hollow rituals which were at best unproductive and at worst destructive of morale and creativity. Nevertheless, concerns about the quality of education -- and indeed of the quality of work in many public and private enterprises -- reawakened interest in formal systems of staff evaluation. It is with such formal systems that this study is concerned.

Turning now to the right side of figure 1, we can see that both organizational goals and structure determine the purposes of performance appraisal. These purposes, along with job descriptions and employment contracts, then suggest the criteria for appraisal; the criteria, along with employment contracts, condition the sources, types, and methods of data collection concerning an individual's performance; and finally, the analysis of those analyses, employing a set of standards to compare expected performance with actual performance, results in decisions that are shared with the evaluatee and used, perhaps, to plan a set of follow-up activities. Subsequently, the results of one or more appraisals may affect all aspects of the organization (job performance, individual objectives, contracts, job descriptions, and organizational structure) and the appraisal process itself (data collection, criteria, and purposes).

In practice, some broader classifications of the stages in the appraisal process proved useful. Five categories -- preparation for appraisal, data collection, reporting and follow-up, evolution of policy, and impact of policy and practice -- are labeled on figure 1. These five are used repeatedly in the subsequent chapters to organize the reporting of findings and discussion. Though they are developed in detail in chapter 2, the meanings of these categories are summarized here.

Preparation for performance appraisal includes four major aspects: planning, purposes, criteria, and standards. Planning includes such matters as notification of the evaluatee and the holding of pre-evaluation conferences. Purposes include the intended outcomes (e.g., improvement of instruction) as well as possible decisions (e.g., whether or not a permanent contract should be granted). Criteria, as used here, refer to indicators that measure qualities or behaviours; some might be quite complex, such as the style of classroom management, while others might be straightforward, such as punctuality. Standards, then, relate to the extent to which expectations regarding criteria are fulfilled. (In the dictionary definition, criteria and standards are synonyms; the distinction we have made, however, is both useful and common as far as performance appraisal is concerned.)

Data collection, as suggested in figure 1, includes sources and types of information. Method of collection is refined into two factors -- who collects the information and the time spent in the process.

Reporting and follow-up include the nature of the report that is provided, its destination, with whom it is shared, and any follow-up activities, such as plans for action, that are developed.

Evolution of policy includes the process by which it is developed (including who participated), the activities undertaken to implement it, reviews of the policy, and the extent of specificity found within the policy. One important distinction in this regard is between the unitary policies and those that separate administrative from developmental purposes.

Finally, the impact of policy and practice includes the degree of compliance with the policy, the extent of effort expended in its implementation and administration, and the nature and degree of its impact.

Overview

This introductory chapter is primarily concerned with the framework used in conducting the study and in reporting the results. The next three chapters relate directly to the points outlined in the scope of the project at the beginning of this chapter. In particular, chapter 2 describes the results of the screening survey, the analysis of appraisal policies, and the typology called for in points 1 and 2 of the scope of the research. Data from the screening questionnaire indicate the prevalence of performance appraisal policies in late 1982, when these policies had been adopted, and, in the views of the directors who completed the questionnaires, how well implemented and effective these were. The analysis of policies includes four sections, one each devoted to the appraisal of teachers, principals, superintendents, and directors. A typology is developed for each, using four of our major categories -- preparation, data collection, reporting and follow-up, and evolution of policy. Within each major category, subcategories are developed, and the characteristics of appraisal policies are placed within these. For each characteristic, frequency counts are reported to indicate the prevalence of its use. To illustrate different practices, numerous excerpts from policies are included. The chapter concludes with a comparison of the appraisal policies for teachers, principals, superintendents, and directors.

Chapter 3 describes the results of the survey called for in points 3 and 4 of the scope of the research. The chapter begins with a detailed exposition of the sample design and survey methods. This is followed by a description of the actual performance appraisal practices experienced by the four groups surveyed. As well, respondents' views as to how they and their colleagues ought ideally to be formally evaluated are reported. This part of the chapter is organized in the same manner as is the body of the preceding chapter, with separate sections for each role and subsections for the various categories used in the typologies developed in chapter 2. For the most part overall statistics are reported, with differences noted for those in different types of school (public elementary, public secondary, or separate), different types of school board (public or separate), and schools with different languages of instruction (French or English). Also provided are an analysis of the relationships of the characteristics of performance appraisal practices to the effectiveness of the evaluation process for teachers and principals; a demographic profile of the questionnaire respondents; and an analysis of the correlates of the numbers of teachers who are placed under review, dismissed, and file an appeal, grievance, or lawsuit. The chapter concludes with a comparison of the findings for those in different roles.

Chapter 4 reports a cross-case analysis of the eight case studies. After a description of the purpose and methodology of these studies, the chapter compares each phase of the appraisal process for directors, superintendents, principals, teachers, and consultants in each of the eight school boards studied. While other chapters emphasize the typical or overall situation in Ontario school boards with regard to performance appraisal, this chapter emphasizes variation among boards, linking the unique situation in a board to its approach to staff evaluation. The chapter concludes with a synthesis of the results for the various roles and an assessment of where major difficulties lie.

The fifth and final chapter draws conclusions from the findings and suggests possible implications for practice.

This volume and its two companion volumes of appendices comprise the technical report called for in point 6 of the scope of the research. Volume 2, Appendices A and B, includes statistical tables and copies of the survey instruments on which chapter 3 of this report is based; Volume 3, Appendix C, includes copies of the eight case studies on which chapter 4 is based. This report is supplemented by a non-technical report, which provides a precis of the study and its implications.

CHAPTER 2

PERFORMANCE APPRAISAL POLICIES IN ONTARIO SCHOOL BOARDS

School boards in Ontario have developed, as one strategy for providing quality education, a considerable range of ways of dealing with performance appraisal of certificated education staff. Some jurisdictions have very detailed and specific procedures, while others rely upon administrative practices, often undocumented, developed by individual supervisors in the course of their duty.

Both those responsible for making decisions regarding performance appraisal and those most affected by such appraisal need comprehensive, accurate, and accessible information about the current range of policies and practices in Ontario.

Accordingly, the first phase of this project was designed to provide an information base regarding the extent, distribution, diversity, and perceived effectiveness of existing approaches to the appraisal of certificated education staff in Ontario boards. To achieve this objective, a screening questionnaire was sent to all school boards in Ontario, along with a request for copies of existing policies, procedures, and instruments for the appraisal of teachers, principals, and supervisory officers, including directors. Subsequently, this information was used (1) in the design of a detailed questionnaire to be sent, in the second project phase, to staff in 30 boards, and (2) to select the sample of school boards to receive these questionnaires.

This chapter provides (1) a description of the results of the screening survey sent to all school boards, (2) a typology developed to analyse and describe various systems of performance appraisal, and (3) the content and prevalence of different types of evaluation policies at all levels.

Methods of Data Collection and Analysis

In October and November of 1982, directors of all 187 Ontario school boards were sent letters requesting policies, guidelines, and instruments relevant to their board's performance appraisal practices. Where the appraisal system was not adequately described in existing documents, respondents were asked to submit a letter describing whatever system was in use.

Accompanying the letters to directors were an abstract describing the overall research project and a one-page screening questionnaire (figure 2), which asked for student enrolment, as well as the year of adoption of their system, extent of its implementation, and perceived effectiveness of the system for educational staff and others in their school and board.

Figure 2: Screening Questionnaire

THE ONTARIO INSTITUTE FOR STUDIES IN EDUCATION

PERFORMANCE APPRAISAL STUDY

STUDY OF SCHOOL BOARD CHARACTERISTICS

Please return by November 19, 1982.

1. Name of Board: ______________________ Code:

2. Enrolment (September 1982): ☐☐☐☐☐☐

3. In what year did your board adopt the performance appraisal system described in the documents or letter you are forwarding to us?

	Year	Not Applicable
a. for teachers?	19__	___
b. for principals?	19__	___
c. for superintendents?	19__	___
d. for the director?	19__	___
e. for others?	19__	___

Comments: ______________________

4. Do you believe the appraisal system has been implemented? (Please circle your response.)

	As Described	Approximately As Described	Very Differently From Described	Not Applicable
a. for teachers	3	2	1	0
b. for principals	3	2	1	0
c. for superintendents	3	2	1	0
d. for the director	3	2	1	0
e. others	3	2	1	0

Comments: ______________________

5. How effectively do you believe your performance appraisal system is achieving its objectives? (Please circle your response.)

	Very Effectively	Somewhat Effectively	Not Effectively	Not Applicable
a. for teachers?	3	2	1	0
b. for principals	3	2	1	0
c. for superintendents?	3	2	1	0
d. for the director	3	2	1	0
e. for others?	3	2	1	0
f. for schools?	3	2	1	0
g. for the system as a whole?	3	2	1	0

Comments: ______________________

6. Performance appraisal policies, guidelines and instruments

a. ☐ are enclosed. b. ☐ are being sent under separate cover.

Thank you for your assistance.

Please return by November 19, 1982 to:

Performance Appraisal Study
Stephen B. Lawton, Principal Investigator
Department of Educational Administration
The Ontario Institute for Studies in Education
252 Bloor Street West
Toronto, Ontario M5S 1V6

BEST COPY AVAILABLE

Table 19 (continued)

As is described in a subsequent section on sample design, initial rates of return from boards other than public boards of education or county and district Roman Catholic separate school boards were very low. Consequently, we decided, with the approval of the project's Advisory Group, to report only on the 77 public and 49 Roman Catholic separate school boards in the province.

Those school boards that did not reply were asked again, by letter in December 1982 and by telephone in early January 1983, to submit documents and screening questionnaires to the project team.

Screening questionnaires and/or replies regarding appraisal practices (i.e., relevant documents, a letter describing practices, or letters indicating an absence of any appraisal system) were received from 75 public (97 per cent) and 44 separate school boards (90 per cent).

Analysis of Screening Questionnaire

In addition to the information collected from the screening questionnaire, additional information concerning all school boards was obtained from other sources.

The proportion of French schools was obtained by dividing the number of French schools by the total number of schools for each board, using school listings from the Ontario Ministry of Education's 1982/1983 Directory of Education.

The extent to which enrolment was or was not declining was calculated from the 1982 figures obtained in the screening survey (or, where there was no reply, from the Directory of Education) and enrolment figures obtained in the Ministry's Survey of School Board 1977 Estimates (or, for a small number of boards for which information was not included in this survey, enrolment as of September 1977 reported in the Ministry's Public School Enrolment and Secondary School Enrolment). Specifically, the 1982 enrolments were subtracted from the 1977 enrolments, and the difference divided by the 1977 enrolment figure. The five-year period was selected to assess the dominant enrolment trend in a board and to eliminate minor year-to-year variations.

Frequency distributions for all variables were calculated for all 126 boards, and for public and separate boards separately. These distributions were used both in the selection of the sample for the major survey and in the analysis of policies.

Analysis of Policies

For the 119 boards which provided information about appraisal policies, guidelines, instruments, and/or prescribed practices (all of which are referred to as "policy" here), information related to the appraisal of teachers, principals, superintendents, and directors was coded using a number of categories concerned with prescribed or suggested practices, including (1) preparation for appraisal (purposes, criteria, and standards), (2) data collection (sources of information, data collection, method of collection, evaluator(s), time spent), (3) reporting and follow-up, (4) differentiation among procedures for certain circumstances and categories of personnel, and (5) evolution of policy (development, implementation, and review). The precise usage of the various categories is elaborated upon during the discussion of results.

For each role and each board, the presence or absence of various components in the policy was determined. With respect to a few categories, the degree to which the component applied was recorded. Subsequently, the relative frequency with which the various policy components occurred was calculated.

For boards appraising teachers and/or principals, cluster analyses were conducted to produce groupings of similar types of system. To do this, for teacher and principal policies separately, responding boards were ranked according to the number of components included in their policy, and components were ranked according to the number of boards reporting their inclusion. A matrix of rank-ordered boards by rank-ordered components was prepared and examined for clusters. For teachers, this technique was used twice, first using 30 components, and then using the 11 components which seemed particularly likely to reflect basic differences in underlying assumptions among policies. For principals, the technique was used only once, with 18 components.

Table 19 (continued)

Results

This section begins with an overview of the results of the screening questionnaire. Subsequently, analysis of the various performance appraisal policies are presented for teachers, principals, superintendents, and directors.

Screening Questionnaire

In the following tables giving results for the screening questionnaire, percentages refer to the entire population of 77 public and 49 separate schools. In fact, only 73 public and 43 separate actually returned the screening questionnaire. Therefore, for most items the percentage of non-responses is stated so that total equals 100 per cent (the NA response includes those who circled "not applicable" and cases where "no answer" was received).

Although questionnaires were sent to the director of each school board and the majority of them were completed by the director, in a small number of boards, directors referred the questionnaire to an appropriate superintendent for completion.

Table 1 shows the regional distribution of Ontario public and separate boards included in the study. The column total gives the distribution of school boards by region and the row total gives the distribution of boards by type.

Table 1: Distribution of Ontario School Boards by Region and by Type

Region	Public		Separate		Total	
	n	%	n	%	n	%
Northwest	9	11.7	6	12.2	15	11.9
Midnorthern	9	11.7	5	10.2	14	11.1
Northeastern	10	13.0	7	14.3	17	13.5
Western	12	15.6	9	18.4	21	16.7
Central	28	36.4	15	30.6	43	34.1
Eastern	9	11.7	7	14.3	16	12.7
Total	77	61.1	49	38.9	126	100.0

Tables 2 through 6 indicate, respectively, the years in which the boards adopted appraisal systems for teachers, principals, superintendents, directors, and other categories of staff, by type of board.

Table 2: Distribution of Boards by Year of Adoption of Current Appraisal System for Teachers and by Type

Year	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
1970	1	1.3	0	0.0	1	0.8
1972	2	2.6	1	2.0	3	2.4
1973	1	1.3	0	0.0	1	0.8
1975	3	3.9	1	2.0	4	3.2
1976	4	5.2	3	6.1	7	5.6
1977	1	1.3	2	4.1	3	2.4
1978	3	3.9	0	0.0	3	2.4
1979	6	7.8	4	8.2	10	7.9
1980	8	10.4	4	8.2	12	9.5
1981	9	11.7	4	8.2	13	10.3
1982	6	7.8	4	8.2	10	7.9
NA	33	42.9	26	53.1	59	46.8

Table 3: Distribution of Boards by Year of Adoption of Current Appraisal System for Principals and by Type

Year	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
1970	1	1.3	0	0.0	1	0.8
1972	2	2.6	1	2.0	3	2.4
1973	1	1.3	0	0.0	1	0.8
1975	3	3.9	1	2.0	4	3.2
1976	4	5.2	3	6.1	7	5.6
1977	1	1.3	2	4.1	3	2.4
1978	3	3.9	0	0.0	3	2.4
1979	6	7.8	4	8.2	10	7.9
1980	8	10.4	4	8.2	12	9.5
1981	9	11.7	4	8.2	13	10.3
1982	6	7.8	4	8.2	10	7.9
NA	33	42.9	26	53.1	59	46.8

Table 4: Distribution of Boards by Year of Adoption of Current Appraisal System for Superintendents and by Type

Year	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
1973	2	2.6	0	0.0	2	1.6
1974	1	1.3	0	0.0	1	0.8
1975	1	1.3	1	2.0	2	1.6
1976	3	3.9	1	2.0	4	3.2
1977	1	1.3	0	0.0	1	0.8
1978	2	2.6	0	0.0	2	1.6
1979	6	7.8	3	6.1	9	7.1
1980	10	13.0	3	6.1	13	10.3
1981	8	10.4	1	2.0	9	7.1
1982	7	9.1	3	6.1	10	7.9
NA	36	46.8	37	75.6	73	57.9

Table 5: Distribution of Boards by Year of Adoption of Current Appraisal System for Directors and by Type

Year	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
1973	2	2.6	0	0.0	2	1.6
1975	1	1.3	1	2.0	2	1.6
1976	2	2.6	1	2.0	3	2.4
1977	1	1.3	1	2.0	2	1.6
1978	3	3.9	0	0.0	3	2.4
1979	6	7.8	2	4.1	8	6.3
1980	10	13.0	3	6.1	13	10.3
1981	4	5.2	2	4.1	6	4.8
1982	3	3.9	3	6.1	6	4.8
NA	45	58.5	36	73.5	81	64.3

Table 6: Distribution of Boards by Year of Adoption of Current Appraisal System for Others and by Type

Year	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
1972	1	1.3	0	0.0	1	0.8
1973	1	1.3	0	0.0	1	0.8
1975	2	2.6	1	2.0	3	2.4
1976	1	1.3	0	0.0	1	0.8
1978	0	0.0	1	2.0	1	0.8
1979	1	1.3	1	2.0	2	1.6
1980	9	11.7	1	2.0	10	7.9
1981	4	5.2	0	0.0	4	3.2
1982	2	2.6	4	8.2	6	4.8
NA	56	72.8	41	83.6	97	77.0

Examination of the total number of NAs in the five tables shows that more boards have appraisal systems for teachers than for, in order, principals, superintendents, directors, or other staff categories.

That the percentages of boards adopting are higher in the last four years than in the earlier years should not in itself be taken as evidence that boards have waited until recently to adopt systems. Respondents were asked to indicate the year of adoption of the system described in the documents they were submitting (i.e., their current system), and many of these systems may have been modifications or replacements of previously adopted systems.

There is a tendency for separate school boards to have a higher NA percentage than public boards in all categories; this difference is greatest with respect to appraisal systems for superintendents and least with respect to those for teachers.

Tables 7 to 11 indicate the degree to which boards perceive the current appraisal systems to be implemented.

Table 7: Degree of Implementation of Teacher Appraisal System by Type of Board

Degree of Implementation	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
As described	29	37.7	16	32.7	45	35.7
Approximately as described	21	27.3	14	28.6	35	27.8
Very differently from described	0	0.0	1	2.0	1	0.8
NA	27	35.1	18	36.7	45	35.7

Table 8: Degree of Implementation of Principal Appraisal System by Type of Board

Degree of Implementation	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
As described	24	31.2	13	26.5	37	29.4
Approximately as described	20	26.0	9	18.4	29	23.0
Very differently from described	1	1.3	1	2.0	2	1.6
NA	32	41.6	26	53.0	58	46.1

Table 9: Degree of Implementation of Superintendent Appraisal System by Type of Board

Degree of Implementation	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
As described	21	27.3	6	12.2	27	21.4
Approximately as described	17	22.1	6	12.2	23	18.3
Very differently from described	1	1.3	0	0.0	1	0.8
NA	38	49.4	37	75.5	75	59.5

Table 10: Degree of Implementation of Director Appraisal System by Type of Board

Degree of Implementation	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
As described	18	23.4	6	12.2	24	19.0
Approximately as described	11	14.3	5	10.2	16	12.7
Very differently from described	2	2.6	0	0.0	2	1.6
NA	46	59.8	38	77.6	84	66.7

Table 11: Degree of Implementation of Other Appraisal Systems by Type of Board

Degree of Implementation	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
As described	8	10.4	3	6.1	11	8.7
Approximately as described	10	13.0	5	10.2	15	11.9
Very differently from described	0	0.0	0	0.0	0	0.0
NA	59	76.6	41	83.6	100	79.3

In looking through tables 7 to 11, we see, as in tables 2 to 6, an increasing percentage of boards in the NA category.

Among those boards which did provide an estimate of degree of implementation (e.g., 42 boards for directors), the percentage replying that the system was implemented as described was 53 for superintendents, 54 for principals, 56 for teachers, 59 for directors, and only 42 for other staff categories. The patterns for public and separate boards considered separately are very similar.

Tables 12 to 16 indicate the degree to which the current systems are considered to be effective in achieving their objectives. Tables 17 and 18 present similar findings for success at achieving school and school system objectives.

Table 12: Effectiveness of Teacher Appraisal Systems in Achieving Their Objectives by Type of Board

Degree of Effectiveness	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
Very effective	20	26.0	9	18.4	29	23.0
Somewhat effective	28	36.4	16	32.7	44	34.9
Not effective	2	2.6	4	8.2	6	4.8
NA	27	35.1	20	40.8	47	37.3

Table 13: Effectiveness of Principal Appraisal Systems in Achieving Their Objectives by Type of Board

Degree of Effectiveness	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
Very effective	17	22.1	5	10.2	22	17.5
Somewhat effective	23	29.9	16	32.7	39	31.0
Not effective	2	2.6	1	2.0	3	2.4
NA	35	45.5	27	55.1	62	49.2

Table 14: Effectiveness of Superintendent Appraisal Systems in Achieving Their Objectives by Type of Board

Degree of Effectiveness	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
Very effective	13	16.9	3	6.1	16	12.7
Somewhat effective	22	28.6	11	22.4	33	26.2
Not effective	2	2.6	0	0.0	2	1.6
NA	40	52.0	35	71.4	75	59.5

Table 15: Effectiveness of Director Appraisal Systems in Achieving Their Objectives by Type of Board

Degree of Effectiveness	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
Very effective	12	15.6	2	4.1	14	11.1
Somewhat effective	14	18.2	11	22.4	25	19.8
Not effective	3	3.9	1	2.0	4	3.2
NA	48	62.4	35	71.4	83	65.9

Table 16: Effectiveness of Appraisal Systems for Others in Achieving Their Objectives by Type of Board

Degree of Effectiveness	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
Very effective	9	11.7	2	4.1	11	8.7
Somewhat effective	13	16.9	9	18.4	22	17.5
Not effective	2	2.6	0.0	0.0	2	1.6
NA	53	68.9	38	77.6	91	72.2

Table 17: Effectiveness of Appraisal Systems in Achieving School Objectives by Type of Board

Degree of Effectiveness	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
Very effective	5	6.5	2	4.1	7	5.6
Somewhat effective	17	22.1	13	26.5	30	23.8
Not effective	2	2.6	1	2.0	3	2.4
NA	53	68.9	33	67.3	86	68.2

Table 18: Effectiveness of Appraisal Systems in Achieving School System Objectives by Type of Board

Degree of Effectiveness	Public (n=77)		Separate (n=49)		Total (n=126)	
	n	%	n	%	n	%
Very effective	7	9.1	2	4.1	9	7.1
Somewhat effective	13	16.9	13	26.5	26	20.6
Not effective	1	1.3	1	2.0	2	1.6
NA	56	72.7	33	67.3	89	70.6

With perceived effectiveness, as with year of adoption and perceived degree of implementation, there is a steady increase as one moves up the hierarchy from teacher to director in the number of NA boards.

Among those boards which did give estimates of the effectiveness of various appraisal systems in achieving their objectives (e.g., 52 boards for superintendents), the percentage regarding their systems as "very effective" ranged from 31 for superintendents and for others, through 33 for directors, 34 for principals, and 37 for teachers. For effectiveness of performance appraisal at achieving school and system objectives, the analogous percentages were 18 and 24 respectively.

In this set of tables (12 to 18), there was a marked difference in the pattern of responses for public and separate boards. In all tables, a greater proportion of public boards and a smaller proportion of separate boards indicated that they regarded their systems as very effective.

Teacher Appraisal Policies

Of the 119 boards that replied about staff appraisal, 89 provided some type of information about the nature of their teacher evaluation policy. In table 19, various possible components of a teacher policy are listed and, for each, the number of boards with policies specifying that feature are listed. In addition, for each component, the number of boards is shown as a percentage of both all 119 responding boards and the 89 boards providing teacher information.

Table 19: Number and Percentage of Boards Specifying Particular Components in Teacher Appraisal Policies

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 89 Boards with Teacher Policies
Preparation			
Purposes			
development/ improvement: general	42	35.3	47.2
development/ improvement: specific	67	56.3	75.3

Table 19 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 89 Boards with Teacher Policies
administrative: general	18	15.1	20.2
administrative: specific	32	26.9	36.0
routine	6	5.0	6.7
Criterion domains			
classroom performance	63	52.9	70.8
school and community involvement	47	39.5	52.8
interpersonal relationships	55	46.2	61.8
personal qualities	32	26.9	35.9
professional development	46	38.7	51.7
contribution to religious education	10	8.4	11.2
Standards (explicit)	0	0.0	0.0
Activities prior to appraisal			
notification in person	0	0.0	0.0
notification by memorandum	4	3.4	4.5
pre-conference	41	34.5	46.1
Objective-setting	38	31.9	42.7

Table 19 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 89 Boards with Teacher Policies
Data collection			
Data collection methods			
observation	77	64.7	86.5
examination of documents	11	9.2	12.4
interview	12	10.1	13.5
other	5	4.2	5.6
Sources of information			
teacher being evaluated	79	66.4	88.8
principal or vice-principal	1	0.8	1.1
teachers	0	0.0	0.0
parents	0	0.0	0.0
students	0	0.0	0.0
others	5	4.2	5.6
Evaluator(s)			
teacher being evaluated	21	17.6	23.6
principal	79	66.4	88.8
vice-principal	36	30.2	40.4
superintendent	45	37.8	50.5
director	8	6.7	9.0
department head	17	14.2	19.1
coordinator	1	0.8	1.1
others	4	3.4	4.4

Table 19 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 89 Boards with Teacher Policies
Frequency:			
-for permanent teacher	67	56.2	75.3
-for probationary teacher	70	58.8	78.8
Number of observations per evaluation	22	18.5	24.8
Reporting and Follow-up			
Post-conference	54	45.4	60.7
Form of report			
statement under several headings	22	18.5	24.7
unstructured statement	39	32.8	43.8
ratings for various components	8	6.7	9.0
summary score	10	8.4	11.2
Destination of report			
teacher	49	41.2	55.1
school	49	41.2	55.1
board	52	43.7	58.4
Follow-up			
plan developed	38	32.0	42.7
monitoring of plan	29	24.3	32.6

Table 19 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 89 Boards with Teacher Policies
Differentiation of procedures			
Differentiation between procedures (other than frequency of evaluation) for permanent and probationary teachers	31	26.0	34.8
Differentiation between procedures for satisfactory and unsatisfactory teachers	42	35.3	47.1
Explicit differentiation of appraisal system into two types	19	16.0	21.3
Evolution of policy			
Development of policy	32	26.9	35.9
Implementation of policy	27	22.6	30.4
Review of policy and/or procedures	17	14.3	19.1

Preparation

Purposes

Referring to the section on Purposes in table 19, we can see that, on the whole, Ontario boards are more concerned with teacher appraisal as a means for developing teaching staff and improving the quality of instruction than for providing information for various administrative decisions. Fairly typical of many boards' statements of purpose are the following (all quotations are from original policies, guidelines, or instruments; in order to protect the anonymity of the boards, no references are given):

1. To encourage and maintain a high standard of performance for all personnel.
2. To foster job satisfaction.
3. To support the positive self-image and confidence of all personnel.
4. To facilitate a high quality of educational services for students.
5. To foster increased co-operative action on the part of all personnel.
6. To provide a challenging work environment.

and

> Evaluation of teacher performance shall be approached as a positive activity designed to reinforce the daily achievements of teachers as they work with children and young people. The process should generate insights about their instructional performance and their professional contribution that will enhance the development of teaching skills.

A closer examination of the teacher policies confirmed the greater importance boards attach to non-administrative purposes for teacher appraisal. Among those boards whose materials included some statement of purpose, only one specified only administrative purposes. In all other cases where an administrative use for appraisal was stated, there was also explicit attention given to developmental/improvement uses. A fairly detailed statement of purposes, which illustrates dual concerns, follows:

1. To provide, through formative and summative evaluation of teaching staff, every assistance toward the progress of our students by securing for them the most favourable conditions for growth and the achievement of excellence in their studies.
2. To provide assistance for teachers in establishing the most desirable conditions for instruction.
3. To assess instruction in the classroom and teacher contribution in the school so that strengths and weaknesses may be recognized and sympathetic direction given to teachers for the improvement of their professional practices.

4. To identify teachers who have leadership potential and to assess the performance of teachers who aspire to leadership positions so that the selection process may be fair and equitable and the school system have the best leadership talent available.

5. To provide the necessary formative and summative evaluation processes and statements for the improvement and/or dismissal of teachers whose performance falls below acceptable standards for the school system.

6. To assess and improve the performance of teachers holding positions of responsibility and, if necessary, provide processes and statements necessary for the removal of persons from such positions, if performance falls below acceptable leadership standards for the system.

7. To provide supervisory officers with the necessary information to report to the Board on the performance of teaching staff and quality of instruction in the system, as required by Section 250 of the Education Act 1974.

8. To provide principals with the necessary information to fulfill their duties under Regulation 704/78; i.e., "supervise the instruction in the school and advise and assist any teacher, in co-operation with the teacher in charge of the organizational unit or program in which the teacher teaches; report to his board in writing, on its request, on the effectiveness of members of the teaching staff,

   recommend to his board

   (a) the appointment and promotion of teachers and

   (b) the demotion or dismissal of a teacher whose work or attitude is unsatisfactory, but only after warning the teacher in writing, giving him assistance and allowing him a reasonable time to improve."

9. To provide a record of performance that will be helpful in responding to requests for references from other prospective employers.

10. To provide a record of performance that will be helpful in making recommendations for various types of certification and entry into courses.

11. To provide for teachers, at periodic intervals through the evaluation interview and summative evaluation statement, a clear understanding of their perceived level of performance in the school system and, thereby, assist teachers in setting performance objectives for improvement, if necessary; to enhance their feelings of self-worth.

Criteria and Standards

The largest single component of many boards' teacher policies is a listing of the criteria to be used in making judgements about teaching. (A very small number of boards indicate that school teaching staff should be involved in the selection of criteria in their schools, but, even among these boards, the policy may suggest possible criteria from which individual schools may choose.)

The form in which criteria are stated varies tremendously among boards, ranging from very brief statements (e.g., "interpersonal relationships", "planning and preparation") to lengthy lists of behaviours expected of a good teacher. Sometimes criteria are broad areas to be assessed by means of performance indicators and descriptors. At other times criteria are very specific indicators of competence in certain areas. As an example of the first usage, in one board's policy, when the criterion is "human relations", one of the "descriptors" is "control of students is maintained in a harmonious atmosphere". As an example of the second usage, in another board, in the area of teacher-student relationships, the expectation is expressed that "the teacher's personal demeanor creates mutual respect with students and encourages students to view the teacher as one genuinely interested in their welfare", and one of the criteria is that the teacher "is consistent and fair in expectations and reactions to student behaviour". Among various boards, there is mention of traits and qualities, of skills, competencies, and expectations, and there is some discussion of "presage", "process", and "product" types of criteria. This complexity is increased when the notion of standards is introduced, with standards being for some exactly what criteria are for others.

Accordingly, in analysing policies for this project, we decided to use the notion of "criterion domain". This notion would be able to incorporate criteria of varying specificity and type from responding boards. With criterion domain, the focus would be on the area or domain of teacher performance rather than on the specific criteria employed.

At the same time, we decided to retain the commonly used term "standard" but to restrict its use to situations involving (1) the specification of how acceptable performance is to be measured, and (2) the level of attainment to be achieved.

Referring to criterion domains in table 19, we can see that the six domains are not mutually exclusive. Classroom performance is the area most often mentioned in boards' statements of criteria for teachers, with interpersonal relationships (many of which take place within the classroom), school and community involvement, and professional development also listed by more than half of the boards.

The use of personal qualities as criteria is somewhat less frequent (and very few boards rely exclusively on listings of such qualities), and the teacher's contribution to pupils' religious development is restricted to some of the separate school boards.

None of the responding boards had teacher policies indicating explicit standards, when a standard was considered to relate to a measure rather than just an indicator.

Activities Prior to Appraisal

Policies from 41 boards required that pre-evaluation conferences be held with their teachers. An additional four boards specified another method of notifying teachers about impending evaluations, such as by memorandum.

Objective-Setting

The expectation that teachers would set objectives was mentioned in the teacher evaluation documents of 38 boards. However, the nature and scope of objective-setting in the evaluation process varied considerably among boards. In some, objective-setting referred to activities surrounding a particular lesson to be observed by the evaluator; in others, objective-setting was an ongoing, cyclical process. An example of the former comes from a letter describing one board's system:

> We have undertaken to use the model, that was promoted by O.S.S.T.F., which is referred to as a clinical model, whereby teachers are requested to identify their lesson objective(s), their strategies, and the indicators that should be explained to the evaluator and be obvious in the classroom.
>
> The principal, vice-principal or department head (in the secondary school) visits the classroom and evaluates the lesson according to the objectives agreed upon with the teacher. Subsequently a post-visit meeting takes place in which the teacher and the evaluator talk about the lesson.

In contrast, the material presented in figure 3 is adapted from the policy of a board in which objective-setting is a much longer-term matter.

Figure 3: Objective-Setting by Teachers (Policy Excerpt)

Approximate Month	Action Required
June	Principal has a meeting with the teachers being evaluated to outline the procedures for evaluation. A discussion of Board and school objectives and expectations will take place at this time.
September	Teacher assesses the impact of the Board's and school's expectations as they pertain to their specific class's needs and abilities.
	Principal visits the classroom to familiarize himself with the teacher's needs and expectations.

Figure 3 (continued)

	Principal and teacher come to an agreement as to what expectation areas are to be evaluated that year....
October	Teacher drafts specific goals and statements for the chosen areas of evaluation. Principal and teacher meet to draw up the formal document.
October to May	Principal organizes a series of formal and informal visitations to the classroom of the teacher....
mid May	A final year end summary would be made based upon the results of the principal's visitations and observations of the new teacher that year....
June and the succeeding year(s)	Based upon the results of the performance achievement summary, the principal will recommend appropriate inservice training or professional development to meet the needs of the teacher beyond that already given throughout the year....

SPECIAL NOTES

1. It is important to remember that this is an ongoing program. The Report in June should not be "filed away" but ought to be referred to regularly by both parties in succeeding years in order to assist in setting personal annual objectives and professional development.

A similar approach from another board makes more explicit the cyclical quality of objective-setting:

> The basic cycle for the Evaluation for Professional Growth process involves a pre-visit conference, observation and a post-visit conference...
>
> In addition to providing an opportunity for dialogue, the preparation of developmental and/or improvement goals and an action plan, the post-conference may also be used as a pre-conference for the next observation if this is to take place in the near future. The post-conference is a critical stage in the Evaluation for Professional Growth process. It must be meaningful to both parties, and a goal-oriented experience for the teacher; it will provide the basis for evaluator/teacher co-operation towards developmental and/or improvement goals.

In some boards, too, objective-setting is listed merely as one of the criteria (e.g., "has well defined objectives and works toward them") to be met by a successful teacher; in others, the objective-setting process is the essence of the entire teacher evaluation process.

The following example of the latter type comes from a board in which objective-setting happens to be exactly the same as that for administrators at all levels. The policy cites nothing about criteria or evaluation methodology, focussing simply on the process to be used:

> The intent of this process is that each person in the system will, in co-operation with his/her immediate supervisor, participate in the development of job oriented, self-oriented goals.
>
> This process provides the opportunity for each person to assess where he/she is in relation to the specific job expectations. Having done this, the individual will establish a set of realistic goals for a given time period. These goals, once agreed upon, will form the basis for co-operative action on the part of the employee and supervisor.
>
> Throughout the process, those involved will monitor and, where necessary, modify the goals. At the end of the process, the stated goals will form the basis of a summative evaluation and recommendations for future action.

In summary, objective-setting among the 38 boards varied considerably, and only 23 boards described their variant in some detail. All 28 boards that specified who was responsible for setting objectives indicated a collaboration between evaluator and evaluatee.

Data Collection

Methods

As is clear from table 19, the primary mode of collecting data for teacher evaluation was classroom observation. Small numbers specified that interviews were used to collect information on teachers' activities about which the evaluator might not know and/or that documents (primarily teachers' lesson plans and students' classroom work) were used.

Sources of Information

In the teacher policies collected, there is very little suggestion that data about teachers' performance could be collected from others such as peers, parents, or students who would have information on this topic. Evaluators, it is evident, are thought to be able to make evaluative judgements through observing and/or talking to the teacher, although formal interviews between the evaluator and evaluatee are rarely specified.

Evaluator(s)

As is seen in table 19, principals are the group most often responsible for teacher evaluation, and the identity of the evaluator is one of the most often specified components of teacher appraisal systems. Although principals are most heavily involved, individuals in a number of other roles may serve as evaluators under some circumstances, as is outlined in table 20. In this table, a distinction is made between those who have primary responsibility for evaluating teachers and those who assist the primary evaluator or contribute as evaluators under particular conditions.

Table 20: Number and Percentage of Boards Specifying Particular Primary and Contributing Evaluators in Teacher Appraisal Policies

Evaluator(s)	Number of Boards	Percentage of all 119 Responding Boards	Percentage of 89 Boards with Teacher Policies
Primary			
principal	79	66.4	88.8
vice-principal	1	0.8	1.1
superintendent	18	15.1	20.2
director	1	0.8	1.1
department head	1	0.8	1.1
other	2	1.7	2.2
Contributing			
evaluatee	21	17.6	23.6
vice-principal	35	29.4	39.3
superintendent	27	22.7	30.3
director	7	5.9	7.9
department head	16	13.4	18.0
coordinator	1	0.8	1.1
other	2	1.7	2.2

From table 20, we see that the only involvement of principals is as primary evaluator; they are specified as such by 79 boards. Superintendents also serve as primary evaluator in 18 boards, but, from a closer examination of policies, appear never to be the sole evaluator. Some boards appear to use either the superintendent or principal as primary evaluator without specifying reasons for the involvement of one or the other group in particular situations. In other boards, however, superintendents may be involved in a different manner (e.g., less frequently) or under different circumstances (e.g., for classroom observation only) than principals are. A final situation in which superintendents are involved as primary evaluator is suggested by reference to table 19, where the category "differentiation between procedures for permanent and probationary teachers" is mainly comprised of cases in which the evaluator differs for these two groups of teachers. This category includes 31 boards.

The nature of the involvement of contributing evaluators, as listed in table 20, varies according to the group involved. Self-evaluation by the teacher typically occurs in advance of a formal evaluation by another. Vice-principals or department heads, in general, are involved in providing various types of assistance to the primary evaluator, usually principals. Superintendents or directors, however, when considered in their contributing role, are typically asked to evaluate teachers when there is a difficulty of some type or if a second opinion is desired for a particular reason.

Time Spent

Three-quarters of the boards included some sort of specification of the frequency with which formal teacher evaluation was to take place, but only one-quarter of them included a prescribed number of observations per evaluation. Table 21 includes, for permanent and probationary teachers separately, more detailed information about the precise frequencies prescribed. It is clear that evaluation is required much more frequently for the probationary group. Table 22 indicates the number of observations per evaluation that were specified by the 22 boards including this component in their policies. Although this component is rarely specified, when it is, the most common response is that three to four observations should be made for each evaluation.

Table 21: Number and Percentage of Boards Specifying Particular Frequencies of Evaluation for Permanent and Probationary Teachers

Frequency	Number of Boards	Percentage of all 119 Responding Boards	Percentage of 89 Boards with Teacher Policies
Permanent Teacher			
2 or more per year	3	2.5	3.4
1 per year	16	13.4	18.0
every 2 years	14	11.8	15.7
every 3-5 years	33	27.7	37.1
more than 5 years	1	0.8	1.1
Probationary Teacher			
2 or more per year	53	44.5	59.6
1 per year	17	14.3	19.1

Table 22: Number and Percentage of Boards Specifying Particular Numbers of Observations Per Evaluation for Teachers

Number of Observations Per Evaluation	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 89 Boards with Teacher Policies
One	7	5.9	7.9
Two	3	2.5	3.4
Three to four	12	10.1	13.5
More than four	0	0.0	0.0

Reporting and Follow-Up

Post-evaluation Conference

Table 19 shows that 60.7 per cent of the boards providing teacher policy information specified a post-evaluation conference between teacher and evaluator.

Form of Report

Sixty-four boards specified the precise format of the reports summarizing teacher evaluations. Table 19 indicates the numbers reporting the four variants identified. Some boards were coded as belonging to more than one category.

The most frequent sort of report, "unstructured statement", simply involved the evaluator's describing or commenting on those aspects of teacher performance considered noteworthy. The next most frequent, "statement under several headings", was similar but required the evaluator to make comments on particular topics, which often corresponded to that board's criterion areas. An example of headings from one board are: Planning and Preparation, Instructional Practices, Evaluation Techniques, Classroom Management, Subject Competency and Professional Growth, Interpersonal Relationships, Contribution to Total School Effort, and Personal Characteristics. The report classified as "summary score" involved the evaluator's making a judgement of overall teacher functioning (e.g., excellent, very good, good, fair, weak, or unsatisfactory) and the report classified as "ratings for various components" involved assigning either qualitative grades or numerical scores to components of teacher behaviour.

Destination of Report

Slightly over half the boards providing policy information specified the destination of copies of the reports summarizing teacher evaluations. In the majority of these boards, copies were to go to teachers who were evaluated, to their school or principal, and to the board offices; however, in some boards, copies were to go to only two of these three. In general, there was little detail regarding destination, with a very small number of boards mandating specific controls such as the destruction of reports after a certain number of years or the restriction of use for purposes other than the immediate appraisal without the teacher's permission.

Follow-Up

Policies of 38 boards stated that a plan should be developed as a consequence of the teacher evaluation process; among these boards, only seven provided details about such a plan.

One of the latter is a board which lays unusual stress on the remedial, training, and developmental aspects of the evaluation process. Its overall evaluation model is reproduced below:

1. Self-evaluation Personal and individual process of examining one's performance within personal goals and those of the school and system. 2. Collegial evaluation External assessment of individual performance by immediate superordinate with stress on positive aspects of professional growth. Evaluation to be based upon mutually agreed upon criteria.	Established and supported by individual schools
3. Professional remediation Specific, immediate assistance to remedy identified individual problems or concerns. 4. Inservice training Upon identification of common needs, short specific programs established at family of schools/board level.	Established and supported by board and/or superintendents and/or principals
5. Professional development Ongoing, long range programs dealing with board at the board wide level.	

The policy manual for this board also includes a section containing ideas for meeting expectations and for in-service and professional development, as well as some samples of forms for teacher self-evaluation. Resources of this type are included in only a small number of boards.

Just as it is unusual for boards to provide details regarding planning after evaluation, so it is unusual for them to specify that a post-evaluation plan for development or improvement should be monitored by a supervisor. Only 29 boards mentioned such monitoring; of these, only eight provided any specific information about how this would be done.

The two following examples of arrangements for post-evaluation planning are taken from policies at the end of the continuum with the highest specification of the monitoring process. Their brevity suggests how little attention, overall, is given to the monitoring of post-evaluation plans. From one board:

> During the visitation period, the evaluator will discuss his/her observations with the teacher. Should there be areas where improvement is required, the evaluator shall make specific recommendations. Any or all of the following personnel may be involved in the development and implementation of a program to assist the teacher: other teachers, Co-ordinators/Consultants, Department Heads, Vice-Principals, Principals, Superintendents and other resource persons.

From the other:

> The process does not end with the post-visit conference. The evaluator and teacher will continue to work together in an effort to meet the improvement and/or developmental goals and to implement the action plan. Throughout the process, the evaluator must consider such things as the needs and previous experience of the teacher, the expectation of the school/system, and the role of the evaluator in providing assistance to the teacher.

Differentiation of Procedures

Permanent and Probationary Teachers

This category, which in table 19 contains 31 boards, was described earlier in this section under Evaluator(s). Most differentiation of procedures involves different evaluators used for permanent and probationary teachers and different frequencies of evaluation.

Satisfactory and Unsatisfactory Teachers

The policies of 42 boards differentiated, to some degree, procedures to be followed with teachers who were found to be performing at a satisfactory level and with those who were not. The procedures ranged from simple ones described in only a brief paragraph to complex policies a half-dozen pages in length.

Fourteen of these boards made rather brief reference to the fact that there were special arrangements to be made for teachers who were experiencing major difficulties and did not label or describe in detail such arrangements. For instance, in one board, when a teacher is identified as "unsatisfactory",

> A written plan for improvement is to be created by the teacher and the evaluator. The actions taken to effect improvement will be monitored by the immediate supervisors within a definite time period indicated. Further evaluation by the immediate supervisors and an evaluation by a Superintendent is required within a specified time.

From another board, the supervisor/evaluator is advised to consider alternatives:

> If required, discuss the following alternatives:
>
> (1) Promotion
> (2) Positions of added responsibility
> (3) Reassignment
> (4) Transfer within/outside the system
> (5) Retraining
> (6) Demotion
> (7) Early retirement incentives
> (8) Termination

Twenty-four of the 42 boards had more detailed descriptions of procedures to be followed in the process variously termed "on review", "under review", or "documentation". Among these boards, also, there was substantial range in complexity. Typical of the process required in many boards is the following:

ON REVIEW PROCEDURES

Procedures

1. The teacher will be informed in writing that his performance is not meeting acceptable standards as defined by the Act and in the expectations of teachers as stated in Board Policy.

2. The teacher will be informed in writing as to what is required to meet acceptable standards.

3. The Superintendent will be consulted and asked to appoint a team to monitor the teacher's performance.

4. Teachers in charge of organizational units, Consultants and Vice-Principal(s) may be asked to assist the teacher to meet acceptable standards.

5. The teacher will be given a reasonable period to improve.

6. The evaluation reports and the recommendation of the Principal and/or Vice-Principal(s) will be considered by the Superintendent in making a recommendation to the Board.

7. The teacher will be informed in writing of the decision of the Superintendent, i.e.:
   (a) return to normal supervision and evaluation routine;
   (b) continue "on review";
   (c) recommend termination by Board motion.

Some of these policies included a description of an appeal procedure, while others did not.

Four of the 42 boards had extremely complex and detailed procedures for dealing with teachers with difficulties. A sample of one procedure is given in figure 4.

Figure 4: Evaluation Procedures for Teachers Whose Performance Is Unsatisfactory (Policy Excerpt)

Special Evaluation Procedures for Permanent Teachers Having Difficulty

Letter of Concern

1. A teacher on permanent contract who is having serious difficulty and has had at least two visits for evaluation shall receive from his principal or Area Superintendent a signed Letter of Concern.

2. The Letter shall point out the teacher's problems, make definite recommendations for improvement, and assure the teacher that help is available. When the Letter is presented to the teacher, the principal or Area Superintendent shall discuss it with him fully and, if he thinks it advisable, invite another supervisor to attend the discussion.

3. The elementary school principal or Area Superintendent concerned shall send a copy of the Letter to the Superintendent of Operations.

4. The secondary school principal or Area Superintendent concerned shall send a copy of the Letter to the Superintendent of Operations, wait three teaching days after issuing it to give the teacher in question an opportunity to request, in writing, that the O.S.S.T.F. not be informed, and then, if the teacher has not so requested, notify the Executive of O.S.S.T.F., District 4, that he has issued a Letter of Concern to him.

Letter of Doubt

1. A teacher given a Letter of Concern shall have his work evaluated further. If, after at least thirty teaching days from the date when he received a Letter of Concern, the teacher has had at least two evaluations of his work but continues to show little or no improvement in spite of determined efforts to assist him, he shall receive from his principal or Area Superintendent a signed Letter of Doubt.

Figure 4 (continued)

2. The Letter of Doubt shall point out in specific terms the teacher's continuing areas of difficulty, suggest possible solutions for them, and state that unless definite improvement occurs, the contract may by terminated.

3. The elementary school principal or Area Superintendent concerned shall discuss the Letter with the teacher in the presence of another supervisor, keep a copy for his records, and send a copy to the Superintendent of Operations.

4. The secondary school principal or Area Superintendent concerned shall discuss the Letter with the teacher in the presence of another supervisor, keep a copy for his records, send a copy to the Superintendent of Operations, wait three teaching days after issuing the Letter to give the teacher an opportunity to request, in writing, that the O.S.S.T.F. not be informed, and then, if he has not so requested notify the Executive of O.S.S.T.F., District 4, that he has given him a Letter of Doubt.

Letter of Recognition of Immediate Improvement

If the principal or Area Superintendent believes that a teacher given a Letter of Doubt has, in fact, overcome his stated problem, he shall supply him with a Letter of Recognition of Immediate Improvement and send a copy to the Superintendent of Operations, and this copy will be placed in the teacher's evaluation file. The teacher in question shall then proceed on the salary grid the following 1 September.

Letter of Further Consideration and Letter Recommending Termination of Contract

A teacher given a Letter of Doubt shall have his work evaluated further. If, after at least thirty teaching days from the date when he received a Letter of Doubt, marked improvement does not occur, the principal or Area Superintendent shall give him a Letter of Further Consideration or a Letter Recommending Termination of Contract, depending on the degree to which his service has been less than satisfactory.

Letter of Further Consideration

A Letter of Further Consideration shall outline the teacher's difficulties, make clear suggestions for improvement, and describe very definitely any changes recommended.

1. The principal or Area Superintendent shall prepare the Letter in triplicate, sign, and have the teacher sign, all three copies, keep a copy, give the teacher a copy, and send a copy to the Superintendent of Operations. He shall also discuss the contents of the Letter with the teacher in detail in the presence of another supervisor.

2. Transfer of the teacher to another school or other action concerning placement may be considered.

3. A teacher given a Letter of Further Consideration will not advance on the salary grid, effective 1 September of the next school year. When his progression on the grid is to be withheld, the teacher must be notified before 1 April of the Board's intention to withhold the progression and shall receive a written statement of the reasons why his service is not considered satisfactory. However, his salary progression shall not be withheld for more than two consecutive years.

Letter Recommending Termination of Contract

1. Before a teacher receives a Letter Recommending Termination of Contract, the following requirements must have been satisfied:

    (a) the teacher has had at least six documented supervisory visits;

    (b) at least one supervisor other than the principal has discussed the teacher's problems with him;

    (c) the teacher has received both a Letter of Concern and a Letter of Doubt;

Figure 4 (continued)

(d) in the case of a secondary school teacher, the principal has required the Department Head to assist the teacher in every way possible and has on file a report from the Head indicating the assistance he has given the teacher;

(e) the principal and Area Superintendent have discussed the case with the Superintendent of Operations.

2. A Letter Recommending Termination of Contract must state clearly the reasons for its issuance, review all areas of unsatisfactory performance, summarize the specific efforts made to assist the teacher, and notify him specifically that a recommendation will be made to the Board to terminate his contract.

3. The principal or Area Superintendent shall prepare the Letter in triplicate, sign, and have the teacher sign all three copies, keep a copy, give the teacher a copy, and send a copy to the Superintendent of Operations.

4. Principals or Area Superintendents

   (a) must notify the teacher, in writing of their intention to recommend his dismissal to the Board, which may confirm the recommendation by 30 November, to take effect on 31 December immediately following or by 31 May, to take effect on 31 August immediately following;

   (b) must, in case of a secondary school teacher, notify the Board of Regents of O.S.S.T.F., of the circumstances under which the teacher left their staff.

Exceptional Situations - Permanent Teachers

Although the special evaluation procedures outlined in this policy statement for dealing with permanent teachers having instructional difficulties form the regular evaluation sequence in such cases, exceptional situations may require exceptional handling. A very serious instructional or other problem occurring during the school year may require giving a permanent teacher a Letter of Concern followed by a Letter of Doubt not sooner than fifteen teaching days after the issuance of the Letter of Concern, or a Letter Recommending Termination of Contract not sooner than fifteen teaching days after the issuance of a Letter of Doubt.

The principal and Area Superintendent concerned should discuss all such situations with the Superintendent of Operations and advise the appropriate affiliate.

Special Evaluation Procedures for Probationary Teachers Having Difficulty

Teachers on probationary contracts and experiencing difficulty will, wherever possible, be evaluated in the same sequence outlined above.

Notwithstanding the Board reserves the right to terminate the contract of a probationary teacher according to the terms of the contract and the provisions of the Education Act.

Explicit Differentiation of Appraisal System into Two Types

Table 19 indicates that systems in 19 of the boards involved explicit differentiation of teacher evaluation into two types which depended on different purposes and/or facets of teacher evaluation. These distinctions, which on the whole tended to be made in the more highly elaborated policies, are interesting in and of themselves and because they illustrate problems with terminology and definitions, which make comparisons across boards very difficult.

Four sets of distinctions are discussed: formative vs. summative; administrative vs. non-administrative; supervision vs. evaluation; and classroom vs. comprehensive.

The most commonly made distinction was between formative and summative processes and the procedures associated with these. However, these terms mean slightly different things to different boards.

Several agreed that formative refers to an ongoing developmental process, while summative occurs after a defined period has elapsed. For example, from one board:

> Formative Evaluation is an ongoing developmental process directed toward improved performance and job satisfaction.
>
> Summative Evaluation provides a clear perception of the overall effectiveness of an individual's performance. It "sums up" comments on all aspects of performance observed over a definite period of time.

And from a similar one,

> Summative evaluation of a curriculum, program, student, teacher or administrator judges the effectiveness of the learning, instruction, or action in relation to some standard of excellence after the learning, instruction or action has taken place....
>
> Formative evaluation occurs during the process of curriculum and program construction, learning, teaching and administration for the purpose of guiding the development or altering these processes during the formation stage.

However, other boards attach other meanings to the terms. For example, in one, formative tends to mean informal and summative to mean formal:

> Formative: Formative assessment is the on-going, informal approach to the improvement of instruction. It should be viewed as a developmental function; a counselling tool that can help "coach" a teacher toward better performance. It requires openness and two-way communication for the parties involved. Formative assessment may take one of two forms:
>
>> Self Assessment: a process wherein an individual teacher might assess his/her own performance against the prescribed criteria outlined in the Board's Role Description for Teachers, or against his/her personal objectives for the year.
>>
>> Collegial Assessment: a process wherein a colleague (a fellow teacher, Department Head, Principal or Vice-Principal) might assist the teacher in analyzing and providing feed-back about the teacher's performance. This type of assessment might be initiated by either the teacher or an administrator. In either case, the assessment is of a formative nature and no permanent records are kept. The primary focus of such a process is to assist the teacher in the improvement of instruction.
>
> Summative: Summative assessment is the more formal approach to an annual performance review.

Another board uses formative and summative in ways that correspond with another distinction (between an administrative evaluation process and a non-administrative one) to be described more fully below. For example,

> Formative reports identify strengths in the teacher's performance and areas for improvement or further development, with specific time-lines included.
>
> Summative reports are comprehensive and summarize observations of the teacher's total performance for purposes of promotion, selection, exchange, recognition or as required.

This example also suggests a further distinction, to be elaborated later in this section, between comprehensive evaluation and classroom evaluation.

In several boards there is a distinction between an administrative process and a non-administrative process (variously called "improvement", "instructional", or "professional growth"), and the two processes entail separate procedures. For example,

> EVALUATION FOR PROFESSIONAL GROWTH....
>
> -will be directly related to the professional development and/or improvement of teachers
>
> -will involve each teacher in the process within a three year cycle....
>
> ADMINISTRATIVE EVALUATION....
>
> -will involve all probationary teachers at least twice in each year of the probationary period of the contracts
>
> -tends to be summative in nature and requires indication of the evaluator's (usually the principal's) support or non support for the teacher in his or her role or potential role in the school and/or system
>
> -is essentially the responsibility of the principal and vice-principal (The superintendents may become involved in the decision-making process.)
>
> -is clearly separated from the process of Evaluation for Professional Growth
>
> -will NOT involve department heads, assistant heads or consultants/co-ordinators as evaluators in leading to administrative decisions. This group of personnel may assist evaluators and teachers but will not provide verbal or written reports on teacher performance when involved in this process.

Closely related to both of the above terminological distinctions is that made between supervision and evaluation.

Several boards agree that supervision refers to a process involving giving helpful support to a teacher, while evaluation involves making a judgement. The first example below shows the close relationships among evaluation, summative, and administrative:

> Supervision
>
> Supervision is a process whose primary function is the improvement of a limited number of aspects of the teacher's work....
>
> The result will be a report designed to be helpful with suggestions as to how the teacher's work can further improve in the future....
>
> Evaluation
>
> Evaluation is the process of making a judgment about the overall quality of a teacher's work. Its primary function is to assist in making administrative decisions about the teacher's future: promotion, demotion, retention, or dismissal.

The following example again shows the closeness of the terms evaluation and administrative, and again hints at the distinction between classroom and comprehensive processes:

> Decisions related to the evaluation of teachers are of two types:
>
> SUPERVISORY decisions, regarding the responsibilities of teachers within the classroom.
>
> SUPERVISION refers to the activities of the administrator and/or teacher which result in SUPERVISORY decisions.
>
> ADMINISTRATIVE decisions regarding the selection, placement, promotion, retention, demotion, and termination of staff. EVALUATION refers to the activities of the administrator which result in ADMINISTRATIVE decisions.

There are also idiosyncratic uses of the terms supervision and evaluation. For example:

> TEACHER SUPERVISION: is that process or observation, review, discussion, and follow-up applicable to a teacher on permanent contract. Emphasis will be on improvement of the quality of teaching and learning, encouragement of personal professional growth, and the provision of information relative to changes in teaching assignment.
>
> TEACHER EVALUATION: is that process of observation, review, discussion, and follow-up applicable to a probationary teacher. Emphasis will be on criteria to be used in decisions regarding the granting of a permanent contract.

Finally, a distinction between classroom and comprehensive evaluation is made explicit in a few boards. For example, from one board:

> Formal teacher evaluation is divided into two parts:
>
> I. The evaluation of Classroom Performance.
>
> II. The Comprehensive Evaluation of the teacher's contribution to the total educational needs of the child, the school and the Board of Education.

The second example also overlaps the formative-summative distinction:

> Two types of evaluation are proposed:
>
> 1. The Classroom Effectiveness Report (CER) -- formative evaluation composed of ongoing specific review of the teacher's classroom behaviour;
>
> 2. The Professional Growth Review (PGR) -- summative evaluation comprising a comprehensive review of all aspects of the teacher's activity as an educator.

The four sets of distinctions (summative/formative, administrative/non-administrative, supervision/evaluation, and classroom/comprehensive) considered in this section involve terms in very common use in the province's stated policies and procedures for the performance appraisal of teachers. The fact that there is such diversity among boards in usage of the terms makes cross-board comparisons and the assignment of boards to a small number of categories or "types" with similar systems very difficult.

Evolution of Policy

Development

Only 32 boards, as is seen in table 19, included in their documents information about how their teacher evaluation policy was developed. Most typically, they listed the composition of the committee involved. Less frequently, they also described one or more of the following: the historical situation leading to the committee's formation; the committee's mandate; and the committee's activities. There were occasional references, too, to the sources (e.g., other boards, outside experts, literature) consulted or used in policy development. Finally, a few boards described the experimental use of draft policy materials in a small number of pilot schools.

Implementation

As table 19 shows, only 27 boards made any mention of how newly developed teacher evaluation policies were to be implemented and, of these, few were any more specific than to say there would be "an inservice program to inform all principals and teachers". A few did specify who would be responsible for providing training for evaluators and evaluatees. In general, there was a certain amount of awareness that an implementation strategy was necessary, but very little detail about it.

Review

Only 17 of the boards provided any information about the mechanism for reviewing their teacher evaluation policy. The information was even less detailed than that provided with respect to the policy's development and implementation, with the exception of three boards. These boards, in contrast to the others who merely indicated that a method for reviewing their policy was necessary, had very specific plans for doing so. An example is given in figure 5.

Figure 5: Review of Teacher Evaluation Policy (Policy Excerpt)

Plan for Review of the Model of Supervision

Purpose of the Review Process: To determine whether the model of supervision as set up and implemented in our system is functioning as intended.

Four stages will be used in determining the appropriateness of the model.

STAGE 1: Presentation

(a) Objective: To evaluate the level of understanding of the model gained from the presentation. Understanding is vital in the areas of:

- -philosophy
- -process

(b) Timeline: This stage of the review process will be conducted after the initial in-service session.

(c) Tools: One or more of the following may be used:

-questionnaire
-written comments
-interviews
-co-operative evaluation

(d) By whom: Supervisory Study Committee

(e) Follow-up of Review:

Further in-service as needed.

6.3

Figure 5 (continued)

STAGE 2: Implementation

(a) Objective: To evaluate the model to determine areas that need clarification, amplification or change.

(b) Timeline: This stage of the review process will be conducted at the end of the first year of implementation.

(c) Tools: Same possibility as STAGE 1.

(d) By whom: Supervisory Study Committee

(e) Follow-up of Review:

Revisions to the model will be made as recommended by the committee.

STAGE 3

(a) Objective: To evaluate the model after it has been used for an extended period of time, to determine what extent the Supervisory model has contributed to the growth and development of the people involved and to the improvement of education in the School System.

(b) Timeline: This stage of the review process will be conducted 2 years after implementation.

(c) Assessment Techniques:

To be determined by the Supervisory Study Committee in advance of implementation.

(d) By whom: An Ad Hoc committee, consisting of at least one representative from the Supervisory Study Committee.

(e) Follow-up of Review:

Recommendations to be brought to the Supervisory Study Committee as a whole.

STAGE 4

A formal review, once every five years, is to be conducted to evaluate the Policy, the procedures supporting the Policy and the perceived effects of the supervisory process as defined in the Policy.

Cluster Analysis

This technique was used to determine whether or not teacher appraisal systems could be grouped into several distinct types, with each type possessing a particular set of system components. Neither the 30-component nor the 11-component cluster analysis technique yielded clear groupings. This failure may be partly attributable to the differences in boards' uses of various terms, as described. However, the major reason, more probably, is that policies are aggregates of independent components, with different parts of the policies being based on different assumptions. That is, there are no sets of clearly defined, mutually exclusive frameworks that underlie the structures of teacher appraisal procedures as currently practised in Ontario.

Principal Appraisal Policies

Among the 119 boards that supplied information about staff appraisal, 63 provided some type of information about their policies for principals. In table 23, various components that may occur in principal policies are listed; for each component, the number and percentage of boards whose policies include that component are given. Percentages are expressed relative to all 119 responding boards and to the 63 boards which submitted principal information. The hierarchical organization of the table is very similar to that of table 19, which dealt with teachers. However, there are a few specific differences in categories, particularly under the heading Criterion Domains, between the two tables.

Table 23: Number and Percentage of Boards Specifying Particular Components in Principal Appraisal Policies

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 63 Boards with Principal Policies
Preparation			
Purposes			
development/ improvement: general	4	3.4	6.3
development/ improvement: specific	30	25.2	47.6
administrative: general	7	5.9	11.1
administrative: specific	17	14.3	27.0
routine	2	1.7	3.2

Table 23 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 63 Boards with Principal Policies
Criterion domains			
general administration	43	36.1	68.3
school and community relations	39	32.7	61.9
program organization, development, and implementation	42	35.3	66.7
personnel management, including evaluation and supervision	42	35.3	66.7
contribution to board	25	21.0	39.7
contribution to religious education	13	10.9	20.6
Standards (explicit)	0	0.0	0.0
Activities prior to appraisal			
notification in person	5	4.2	7.9
notification by memorandum	6	5.0	9.5
request for statement about school	13	10.9	20.6
request for self-evaluation	5	4.2	7.9
pre-conference	36	30.3	57.1
Objective-setting	47	39.5	74.6

Table 23 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 63 Boards with Principal Policies
Data Collection			
Data collection methods			
observation	18	15.1	28.6
examination of documents	11	9.2	17.5
interview	39	32.8	61.9
other	3	2.5	4.8
Sources of information			
principal being appraised	43	36.1	68.3
teachers	12	10.1	19.0
department heads	5	4.2	7.9
vice-principal	4	3.4	6.3
superintendent	3	2.5	4.8
parents	5	4.2	7.9
students	4	3.4	6.3
others	2	1.7	3.2
Appraiser(s)			
principal being appraised	22	18.5	34.9
principal's superintendent	46	38.7	73.0
other superintendents	11	9.2	17.5
director	10	8.4	15.9
others	6	5.0	9.5
evaluation team	13	10.9	20.6

Table 23 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 63 Boards with Principal Policies
Time spent			
frequency	27	22.6	42.9
number of days	9	7.5	14.4
Reporting and follow-up			
Post-conference	33	27.7	52.4
Form of report			
statement under several headings	11	9.2	17.5
unstructured statement	16	13.4	25.4
ratings for various components	5	4.2	7.9
summary score	2	1.7	3.2
Destination of report			
principal	20	16.8	31.7
board	25	21.0	39.7
Follow-up			
plan developed	20	16.8	31.8
monitoring of plan	12	10.1	19.0
Differentiation of procedures			
Differentiation among procedures for different categories of principals	7	5.9	11.1
Differentiation between procedures for satisfactory and unsatisfactory principals	3	2.5	4.8
Explicit differentiation of appraisal system into two types	5	4.2	7.9

Table 23 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 63 Boards with Principal Policies
Evolution of policy			
Development of policy	11	9.3	17.4
Implementation of policy	7	5.9	11.1
Review of policy and/or procedures	8	6.7	12.7

Preparation

Purposes

As is seen in table 23, Ontario boards are concerned with appraisal somewhat more as a method for improving principal performance than as a means for informing administrative decisions. A closer examination of principal policies showed that there were only two cases where boards specified only administrative purposes, while there were a number of boards specifying improvement policies only. However, table 23 also indicates that the discrepancy between developmental/improvement purposes and administrative purposes is much less marked for principal policies than for teacher policies. Whereas 75.3 per cent of those boards with teacher policies included statements about specific developmental/improvement purposes and 36.0 per cent about administrative purposes, the analogous figures for principals are 47.6 per cent and 27.0 per cent. In addition, among the principal policies, there are more statements about general administrative purposes than about general developmental/improvement purposes, and this is not the case for teacher policies.

In addition, a much smaller percentage of boards make any statements at all regarding the purposes of principal appraisal. Among the boards that do, discussion is generally briefer than is the case for teachers. Typically succinct is the following statement which includes both improvement and administrative purposes:

> The Board recognizes its responsibility to provide an evaluation program which will
>
> -encourage and support the practices of the successful principal,
>
> -identify areas of future development for each principal and assess the principal's growth in leadership,
>
> -develop an accurate record of each principal's accomplishments as a basis upon which future assignments can be made,
>
> -provide an accountability system to assure quality leadership.

Another policy, which provides a little more concentration on the developmental/improvement type of purpose and a little less on the administrative type, has only a slightly longer discussion of purposes and yet is among the most elaborate in the province:

> The fundamental purpose of an evaluation is to give the Principal/Vice-Principal an opportunity to examine his/her philosophy, role and administrative practice in order to make any adjustment necessary to improve performance. The career needs should be satisfied both in the detailing of areas of strength and in identifying areas where improvement could be made. A natural result of this exercise is the satisfaction that can be derived from the recognition of a job well-done by the Principal/Vice-Principal involved. The document provides a vehicle for ensuring that each Principal/Vice-Principal has a relatively current reporting of his/her performance as an administrator available both for personal and system use.
>
> The selection of the criteria permits the parties to the evaluation to exercise their right to ensure that a fair evaluation occurs. This also provides the latitude necessary to accommodate the wide variety both of the roles and of the personalities involved....
>
> In summary, it is intended that this document provide for recognition of fine performance and opportunities to improve where appropriate. As a result, students in (the) County will be better served.

Criteria and Standards

We see in table 23 that, among the 63 boards providing principal information, there is significant attention given to specifying criteria but there is no evidence of rigorously defining standards of expected performance.

As with teacher policies, a very substantial part of some principal policies is devoted to the general matter of criteria. As with teacher policies, also, there was some diversity regarding the usage of the term criteria, and so we used the notion of criterion domain once more. Regardless of exactly how the term criteria was used, there was considerable uniformity among boards in their general approach is this area. In most cases where criteria were considered, boards specified, under several domains, a large and diverse list of the behaviours expected of a responsible and successful principal. An example appears in figure 6.

Figure 6: Criteria for Principal Appraisal (Policy Excerpt)

CRITERIA

The criteria identified in this evaluation material seek to pinpoint the Principal's/Vice-Principal's role in both the school and the system. The evaluation will be focussing attention on the role of the Principal/Vice-Principal as an educational leader and the sound judgment which he/she exercises in the day-to-day operation of the school.

The following list is not designed in priority order, nor is it intended to be all-inclusive:

Figure 6 (continued)

1. Educational Leadership

-has developed a clear statement of the educational philosophy of the school in its community, along with a written set of aims and objectives for that school

-assists in developing, implementing and supporting Board policy/procedures

-maintains affiliation with professional organizations

-organizes effective procedures which result in the selection of quality personnel

-provides for orientation and development of new staff

-assigns appropriate responsibilities to staff members

-encourages the participation of staff in the day-to-day management of the school

-provides for the effective use of Professional Activity Days

-accepts responsibility for assisting in the training of student teachers

2. Relations With Staff

-has a clear and effectively-implemented program for the evaluation of staff

-supports and encourages staff members in their work

-creates and maintains positive staff morale

-is readily available for consultation by staff

-assigns duties and classroom assignments equitably

-develops and trains staff for positions of responsibility

-provides opportunity for staff involvement

-provides for in-service training programs and encourages intervisitation

-provides direction to staff regarding school procedures (i.e., school manual)

-keeps staff well informed

-has a positive and effective working relationship with internal and external support staff

3. Relations With Students

-has a clear and appropriate philosophy and strategy for the evaluation of students

-endeavours to keep the students informed of the evaluation procedures

-gives recognition to students who achieve excellence in curricular and extra-curricular programs and recognizes enthusiastic participation and improvement

-is readily available to the student body

-demonstrates a concern for students

-provides support for students who require additional help

-encourages and provides for optimum student participation in the total school program

-has an effective and meaningful student activities program

-has clearly-established and implemented guidelines for student deportment and discipline

Figure 6 (continued)

-uses sound judgment when disciplining students

-provides for orientation of all new students

4. Relation With the Community

-employs effective and well-defined procedures for reporting to parents

-interprets effectively and clearly the school programs and policies (i.e., evaluation) to the public and provides opportunity for community feedback

-fosters positive parent-teacher relations and encourages parent participation

-effectively resolves parent-teacher conflicts and misunderstandings

-co-operates with other public agencies related to the community and youth

-encourages the utilization of community resources in the classroom

-encourages and monitors community use of schools

5. Instructional Program

-has an awareness of and adheres to Ministry/Board guidelines

-encourages and supports teachers in the development and effective use of a variety of techniques and teaching strategies to meet student needs

-works closely with the staff to implement and evaluate curricula

-effectively develops a program to meet the needs of the students and provides a timetable to accommodate this program

6. Integration

-supports the "Family of Schools" approach

-strives for close communication with associated schools to enhance the kindergarten to 13 concept in curriculum and program

7. Management of Plant

-submits reports re site, facilities, alterations and renovations

-provides for the care, storage and maintenance of all school equipment

-attempts to maintain security and minimize acts of vandalism

-monitors the effectiveness of the custodial service and the general maintenance of the school grounds

-makes effective use of school facilities

Activities Prior to Appraisal

Thirty-six boards specified that a conference be held prior to the appraisal of a principal. Although a similar specification was made for teachers in 41 boards, the requirement of pre-conferencing was relatively more widespread (57.1 per cent) for principals than for teachers (46.1 per cent) when expressed as a percentage of boards submitting information for the role rather than as a percentage of all responding boards.

There was somewhat more formal specification of the methods for beginning the principal appraisal process than was the case for teachers. Thirteen boards indicated that principals were asked for a statement about their school; five that they were notified in person; six that they were notified by memorandum; and five that they were asked for a self-evaluation.

Two of these specifications are particularly important features in distinguishing some principal policies from teacher policies, and hence require further comment.

The policies or procedures of 13 boards specified that particular kinds of information about the school be submitted by the principal to the appraisers. The type of information required ranged from fairly simple listings of school objectives or staffing to the complex packages required for submission to evaluation teams (see the section on Evaluation Teams below) or the detailed 22-page questionnaire specified by one board that contained eight sections: Philosophy, Evaluation, Supervision, School Organization, Administration, Relationship of School with Community, Future Plans, and Special Projects.

Although a large number of boards suggested that some self-appraisal be carried out by principals, only five outlined in detail the precise technique to be used and its exact role in the appraisal process.

Objective-Setting

Objective-setting was an integral part of the performance appraisal process for principals in 47 boards, i.e., 74.6 per cent of all boards submitting principal policies. In contrast only 38 boards, 42.7 per cent of all those submitting teacher policies, had objective-setting as a component of their written teacher policies.

In figure 7, a description of the objective-setting process drawn from one board's policy for principals illustrates several important features which are commonly specified.

Figure 7: Objective-Setting by Principals (Policy Excerpt)

TIME FRAME THE PRINCIPAL PERFORMANCE REVIEW MODEL

SELECTION OF OBJECTIVES

1. The principal considers and selects possible objectives for the school year.

April May Input is to be obtained from:

- the role statement
- the self-evaluation
- System/region objectives
- the staff
- the community

2. The principal in consultation with the local supervisory officer discusses the possible objectives and receives his input including:

May -superintendency objectives,

Sept. -a general review of principal's performance, the evaluation of objectives realized in the previous year.

Sept. 3. The principal drafts a statement of objectives for the coming year on the Statement of Objectives Form according to the following directions:

- a number of objectives as agreed upon by the supervisory officer and principal,
- specific plan of action to be indicated,
- data sources to be indicated in plan of action,
- time line to be indicated,
- a copy to be sent to the supervisory officer by September 30.

COOPERATIVE AGREEMENT TO OBJECTIVE STATEMENTS

April May June 1. The Statements of Objectives are the focus for discussion between the principal and the supervisory officer. The statements vis-a-vis intent, priority, approach, assessment data and time lines should be clearly understood and agreed to by both parties.

2. The supervisory officer commits himself to provide consultative or other supportive assistance.

3. Each party retains a copy of the statements.

MONITORING

1. Supervisory officer provides the assistance as agreed to.

Nov. March 2. Original objectives are revised if necessary.

3. Data is collected by principal and supervisory officer.

COOPERATIVE REVIEW

1. The principal and supervisory officer meet to:

Figure 7 (continued)

April
May
June

-review and assess progress toward the achievement of the objectives in the statements,

-discuss the general performance of the principal,

-discuss possible objectives for the next year.

2. The supervisory officer prepares the Principal Performance Review Summary. Additional comments should focus on the principal's other contributions to the school. If some aspects of the principal's performance need improvement, suitable objectives should be incorporated into the model.

3. The principal completes, if he so desires, the Principal's Comments section on the Principal Performance Review Summary and a copy of the signed, completed summary is returned to the supervisory officer. A conference would be held on request.

First, objective-setting is a collaborative process, with the principal and his or her supervisor together determining feasible objectives. Among the 47 boards with an objective-setting component, 24 also specify that the objective-setting process is collaborative, while a much smaller number (six) suggest that the principal sets the school's objectives without such collaboration. A small number also involve school staff or community in setting objectives to some extent, as is the case in the board from whose policy figure 7 is drawn.

Second, objectives at the principal or school level are often set within the general framework of the objectives set for the entire school system (and in this case, too, within the framework of the superintendency). Fifteen of the boards were explicit in stating this.

Third, objective-setting is an explicitly cyclical process, with unmet objectives from one cycle being considered in the specification of objectives in the next cycle. Twenty-two boards made this point explicit in their principal policies. Usually, objectives are set on an annual cycle, and in most cases this process takes place whether or not there is a formal appraisal taking place that year. That is, objective-setting typically is done anyway, and in some years it may be used partly for the purpose of appraising the principal.

Fourth, objectives are modifiable during the course of the year. Often the mechanism for doing so is through a scheduled mid-year meeting to monitor progress and to negotiate, if necessary, new objectives.

In summary, objective-setting is much more common for principals than for teachers. In addition, for principals it is a long-term, ongoing process. There is nothing analogous to the process whereby the teacher sets lesson objectives and is assessed on the basis of this short-term activity.

Data Collection

Methods

There were several methods reported as being used in collecting data for appraising principals, as is evident in table 23. Interviewing was used most often (39 boards), followed by observation (18 boards), and examination of documents (11 boards).

Sources of Information

In a pattern quite different from that for teacher appraisal, information about principal performance was collected not only from the appraisee but also from other school staff members and, to some extent, from superintendents, parents, and students.

Teachers were named as sources of information approximately twice as often as any other group apart from the appraisee. In most cases, they were to be consulted fairly informally regarding their principal's performance, but one board's policy included a detailed questionnaire about the principal which was sent to all teachers in a school, and another board was very specific about the purpose and degree of teacher involvement in the principal appraisal process:

> c) Initial meeting with School Staff
>
> Prior to the Review the Superintendent of School meets with school staffs of Principals receiving a Performance Review.
>
> Purpose:
>
> (1) To establish a positive attitude toward the evaluation.
> (2) To review the process of the evaluation.
> (3) To clarify to the teachers their role in the process. The Superintendent of Schools must make it clear that teachers are not being evaluated and that no written reports on individual teachers will be prepared....

f) **Visits with Staff**

> The Performance Review Team will visit classrooms and arrange interview times with some of the teachers.
>
> In most elementary schools all teachers will be visited. In all large elementary schools the Team may select some but not all staff members to visit.
>
> In secondary schools all department heads will be visited and a sampling of teachers will be seen.
>
> No written reports will be prepared on teachers.
>
> The purpose of these visits is to allow the Performance Review Team to compare the observations of the Principal with the operation, practices and procedures of the school....

h) Second Meeting with School Staff

> Superintendent of Schools will meet with the school staff on the last day of the visit.
>
> Purpose:
>
> (1) To enhance the positive attitude toward the evaluation.
>
> (2) To communicate in general terms the impression about the school received by the Performance Review Team.
>
> (3) To enhance the understanding that the Principal, not the staff, was evaluated.
>
> (4) To continue to develop rapport between the Administration and the teaching staff.

Note: It is understood that specific observations and recommendations made to the Principal regarding his/her performance would not be a part of this report to the staff.

The only group, other than teachers, to which extensive reference as a source of information was made was parents. In three of the five boards which mentioned parents, formal surveys regarding the principal were to be administered to parents. All five boards making explicit reference to parent input were separate school boards.

Appraiser(s)

A principal's own superintendent is most often named as the appraiser, and the appraiser's identity is one of the most commonly specified components of principal policies. Self-appraisal, appraisal by directors, and appraisal by superintendents other than the principal's usual one are also mentioned by a substantial number of boards. Table 24 describes the circumstances for involvement of these groups. Self-appraisal is in almost all cases conducted as part of the preparation for the "real" appraisal, and is used in this way in a somewhat higher percentage of boards (34.9 per cent of those with principal policies)

than is the case for teachers (23.6 per cent of boards with teacher policies). When the director and "other superintendents" are involved, they serve, as does "principal's own superintendent", as primary evaluator.

Table 24: Number and Percentage of School Boards Specifying Particular Primary and Contributing Evaluators in Principal Appraisal Policies

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 63 Boards with Principal Policies
Primary evaluators			
appraisee	2	1.7	3.2
appraisee's superintendent	46	38.7	73.0
other superintendents	11	9.2	17.5
director	9	7.6	14.3
others	5	4.2	7.9
Contributing evaluator(s)			
appraisee	20	16.8	31.7
director	1	0.8	1.6
others	1	0.8	1.6

A closer examination of policies suggests that the involvement of other superintendents is almost always as members of the evaluation team reported as part of policy by 13 boards. In three of the boards reporting the director as primary evaluator, the director's involvement was as a member of the evaluation team. The other boards in which the director was involved as an evaluator were, in most cases, very small ones.

Evaluation Teams

The use of evaluation teams was one of the features of principal appraisal that was most distinct from teacher appraisal.

Identified by 13 boards as the prescribed method for principal appraisal, the evaluation team approach typically involved superintendents as evaluators, pre- and post-conferences between team and principal, the entry of the team into the school for a prescribed period, and the principal's preparation for the team of a particular package of materials. Though these features were shared, the detail in which the process was specified varied from board to board. The following excerpt provides a brief outline of the process:

> 5. An evaluation team will consist of not fewer than two ... Board of Education supervisory officers, one of whom will be the appropriate assistant superintendent for that school. Board employees, other than the supervisory officers, may be added to the evaluation team by mutual agreement of the principal and supervisory officers.
>
> 6. The length of the evaluation process will vary from school to school but will normally occur over a period of not fewer than three days which may or may not be consecutive.
>
> 7. The principal should expect the following process to be used by the evaluation team during the in-school evaluation ....
>
>   (a) Discussion on the first day of any or all of the items outlined in the Role Expectations of ... Principals.
>
>   (b) Examination of any records, communication documents, program outlines and/or courses of study within the school.
>
>   (c) Observation of and discussion about the learning environment.
>
> 8. (a) The team will meet with the Principal on the last day of the visits to review and discuss observations and perceptions which will be outlined in the written report.
>
>   (b) A written report prepared by the team will be delivered to the Principal by the appropriate Assistant Superintendent within two weeks of the visit.

Another board's policy, including the same features but outlining the evaluation team process in considerably more detail, is shown in figure 8.

Figure 8: Role of Evaluation Team in Principal Appraisal (Policy Excerpt)

Procedure

1. The Director shall designate a four member evaluation team and a Chairman of the evaluation team.

   (i) One member of the evaluation team should be the superintendent in charge of that school but he should not act as chairman.

   (ii) One member should come from the business area.

2. At least two weeks before the evaluation date, the principal will be asked to submit the following written material to the evaluation team on a form to be provided.

   (i) A written statement of the goals and objectives for the school, which has been developed in consultation with staff. This should comprise a summary of the major thrusts of the school for the current year and a statement of general aims and philosophy.

Figure 8 (continued)

(ii) The principal should state in written form in a general way the methods of staff evaluation used in the school.

(iii) A statement of program offerings should be made available. In the case of a secondary school the course brochure for the current year will suffice.

(iv) A staff list should be provided.

(v) A school map should be provided.

(vi) A general statement should be provided of policies related to student placement, promotion, provision for individual differences, options available, electives, house systems, etc. This need not be a duplication of the course brochure, if such information is available therein.

(vii) A general statement regarding professional development of the staff including a brief description of time, frequency, agenda for staff meetings and a description of in-service activities during the past year and plans for the current year.

(viii) A self-evaluation of the work of the principal on the form provided.

3. In addition to the written statements referred to above, the principal should be prepared to discuss the following with the evaluation team:

(i) staff evaluation for the previous two years
(ii) timetabling
(iii) pupil record systems
(iv) procedure for reporting to parents
(v) use of human resources -- staffing, teaching and non-teaching use of volunteers
(vi) counselling services
(vii) student organizations
(viii) extra-curricular programs
(ix) office routines and handling of funds
(x) communication with feeder schools
(xi) community relations
(xii) provision of pupil supervision re lunches, buses, field trips, etc.
(xiii) condition of school plant, facilities available, future plans for updating, renovation, maintenance, concerns of the principal regarding the building
(xiv) budget preparation and control
(xv) school and classroom management and discipline

The principal may report on any of these items in writing, if he chooses to do so. It is suggested that the team meet with the principal to discuss and clarify his submissions at the outset of the visit.

4. The evaluation will take place within a one week period if possible and will vary according to the size of the school and unforeseen commitments on the part of the team.

5. The post evaluation assessment will include the following:

(i) immediate verbal feedback to the principal within two or three days through the Superintendent.
(ii) a meeting by the team with the principal.
(iii) a follow-up meeting with staff by the evaluation team.
(iv) a written report within two weeks of the completion of the visit.

6. The report will be prepared by the Evaluation Team in consultation and signed by the evaluators. The Superintendent will present the report to the principal for discussion and signature. One copy of the report will be retained by the principal and one copy filed in the Director's office.

Figure 8 (continued)

Team Process

1. Review material prepared by the principal.
2. Meet with the principal to discuss material presented by him and to explain the areas of concentration of each member of the evaluation team.
3. Meet with staff to explain evaluation procedure and to survey the staff.
4. Mid-week meeting to discuss concerns and progress of the evaluation.
5. At week end each member should submit a written evaluation of his area, including recommendations if any.
6. Chairman of evaluation team should consolidate report and meet with team to discuss final report.
7. The team should meet with the principal and then with staff to inform them of the results.
8. A copy of the report should be filed with the Director. The Director and designated superintendent should review recommendations with principal within six months.

Time Spent

Comparison of table 19 with table 23 indicates that the frequency and duration of appraisals are much less often a component of principal policies than of teacher policies, with only 27 boards specifying frequency and only nine including information on the required number of days for collecting data in the school as part of an appraisal.

More detailed information about the precise frequencies for principal appraisal prescribed by board policies appears in table 25. Among those boards specifying frequency, the most common requirement is for annual appraisal. From table 26, we see that among the small number of boards that explicitly consider the length of the appraisal process, roughly half prescribe a particular number of days and half specify that appraisal visits be intermittent and/or spread over a period of time.

Table 25: Number and Percentage of Boards Specifying Particular Frequencies of Appraisal for Principals

Frequency	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 63 Boards with Principal Policies
Annually	11	9.2	17.5
Every 2 years	2	1.7	3.2
Every 3 years	6	5.0	9.5
Every 4 years	6	5.0	9.5
Every 5 years	2	1.7	3.2

Table 26: Number and Percentage of Boards Specifying Particular Number of Days per Appraisal for Principals

Number of Days Per Appraisal	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 63 Boards with Principal Policies
1 day	1	0.8	1.6
3 days	1	0.8	1.6
5 days	3	2.5	4.8
intermittent, over a period of time	4	3.4	6.4

Reporting and Follow-Up

Post-evaluation Conference

Among the boards providing principal policy information, 52.4 per cent require a post-conference between the principal and the appraiser, making it a less frequently specified component than for teachers. This is in contrast to the situation for pre-conferences, where these are more frequently specified for principals than for teachers.

Form of Report

Thirty-four boards, in their policy documents, included some specification of the form of the report resulting from principal appraisal; the precise pattern of required reporting is illustrated in table 23.

Most frequently, appraisers were free to select the areas of principal strength and weakness on which they wished to comment. When boards were coded as requiring an "unstructured statement", the appraiser had total discretion; when they were identified as requiring a "statement under several headings", the appraisers had to make their remarks in relation to a particular set of areas, often corresponding to the board's criterion domains. For one board, for example, these were: Leadership, Administrative, Community, Curriculum, Personnel, and System.

Substantially fewer boards specified that reports resulting from principal appraisal involve ratings, either of overall performance or of component behaviours.

Overall, in contrast to the situation for teachers, the form of report was a relatively infrequently specified component of principal appraisal.

Destination of Report

Similarly, the destination of the report was specified for principals less frequently than it was for teachers. When it was specified, most boards indicated that copies of principal reports should go to the appraisee and to the board office.

Follow-Up

Policies of 20 boards made some reference to planning for growth or improvement as a consequence of the principal appraisal process. Of these, only four provided any elaboration of how such planning might be conducted. Only 12 boards mentioned that there would be some sort of monitoring of the plan for assistance.

Excerpts from three of the policies with the greatest specification regarding planning are presented below.

In the first case, planning for improvement occurs at the very end of the appraisal process and is suggested only for principals identified as "fair" or "weak". For the fair principal:

> A written Plan for Improvement is to be created by this individual and the evaluator and submitted with the evaluation report. Actions taken to effect improvement will be monitored by the evaluator within the time period indicated. A second evaluation within the next five year period may be required.

For the weak one:

> A written Plan for Improvement is to be created by this individual and the evaluator and submitted with the evaluation report. Actions taken to effect improvement will be monitored by the evaluator within the time period indicated. A second evaluation is required after a reasonable time has been allowed for improvement.

The second case comes from a board which applies the same appraisal model to all categories of staff. In this board, planning is not a follow-up to a report on the appraisal. In it, the evaluatee is expected to plan and seek out the resources to implement plans somewhat earlier in the evaluation cycle. An excerpt from this board's policy appears in figure 9.

Figure 9: Planning for Principal Improvement Following Appraisal (Policy Excerpt)

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3. Establish Goals
   - (a) Co-operatively developed based on evaluation of current performance.
   - (b) Goals must be:
     - challenging
     - attainable
     - realistic in nature and number (3 to 5 max.)
     - stated in clear, accurate language
     - observable
     - measurable.
4. Develop Plan of Action
   - (a) Outline responsibilities of identified participants in respect to the process.
   - (b) Discuss anticipated results.
   - (c) Identify available assistance, support, and resources necessary to accomplish the goals (see #7).

Figure 9 (continued)

(d) Agree on format for collecting and recording of information.

(e) Agree on time intervals for monitoring results and progress.

5. Monitor and Evaluate

(a) Discuss progress.

(b) Initiate self evaluation by participants.

(c) Consider feedback from other sources.

(d) Discuss results and evaluate progress.

6. Affirm or Modify Goals

(a) Affirm goals; modify if necessary and identify difficulties.

(b) Goals are not to be confused with activities and all participants must be aware that there is a wide variety of goals (improvement, maintenance, enrichment, personal).

7. Plan for Assistance

Intensive assistance for maintaining goals through:
-special courses
-conferences
-visitations
-inservice (on the job) training
-professional counselling
-further education
-special assistance/additional feedback on a regular basis
-career planning
-exchanges
-sabbaticals, leaves (short and long term).

8. Summarize Evaluation

Co-operative evaluation of previously specified goals which should include:

-statement of agreed upon goals
-summary of initial review
-assistance provided
-a written report of areas of agreement and disagreement
-recommendations for future action.

In the third example, the exact timing for seeking professional assistance is not specified. Instead, the resource list presented in figure 10 is included as part of the policy manual.

Figure 10: Resources for Professional Assistance for Principal Improvement Following Appraisal (Policy Excerpt)

RESOURCES FOR PROFESSIONAL ASSISTANCE

In emphasizing the need for continuing professional growth and development, this section outlines concrete examples of assistance which is available. While the examples listed are not exhaustive, they offer some guidance for individuals with a desire to improve and grow as a professional. While assistance may be recommended by the review team, the principal has a responsibility, as a professional, to take advantage of available opportunities for professional growth.

Figure 10 (continued)

Opportunities for Financial Assistance/Growth

1. Board Professional Development Funds.
2. Board Conference Funds.
3. Federation Funds for Professional Development and Conferences.
4. Ministry of Education Funds for Professional Development.
5. Funds available through the Board/Branch Affiliate Collective Agreement.
6. Exchange programmes within the Board, the province and interprovincial and international exchanges.
7. Transfer within the jurisdiction of the Board.
8. Support to attend retreats, live-ins, etc.

Opportunities for Assistance

1. Professional Literature

Professional readings from books, articles and magazines is a valuable source of new and old information on various educational topics. These readings may come from the individual's personal library, a colleague, the school, the Board Professional Library or through libraries to which the Board has access at various Faculties of Education.

2. Research Services

Individuals can make use of computer-assisted research services to which the board subscribes as a source of literature and materials.

3. Visitation

Arrangements can be made for individuals to visit the schools of successful principals either within the school system or externally.

4. Workshops, Seminars, Conferences

Where an area for growth and/or improvement has been identified, this individual can seek assistance through attendance at a presentation in the area identified.

5. Consultative Assistance

Depending upon the area for growth and the availability of personnel, arrangements can be made for consultative assistance through Board Personnel, Colleges of Education, Federation Personnel and the Ministry of Education.

6. Courses

Individuals with a desire/need for professional growth can undertake studies through Ministry and University courses which are available on a year-round basis.

Figure 10 (continued)

7. Self-Evaluation

Various instruments are available for individual use which assist the principal in analyzing his/her effectiveness. These are available through the Board Office and can be employed co-operatively or on an individual, private basis.

8. Exchanges, Educational Leaves

For the experienced principal who desires further professional growth, there are a variety of exchange plans available. Information on these is available through the Board Office or the Branch Affiliate. Educational Leaves (Sabbaticals) both paid and unpaid, which meet the criteria of professional advancement and the needs of the system, are available to individuals.

Differentiation of Procedures

Different Categories of Principal

Only seven boards differentiated among procedures to be used in appraising various categories of principal. In most cases, this involved minor procedural differences in the conduct of appraisals of elementary and secondary school principals. In addition, in one board the frequency of evaluation for newly appointed differed from that for more experienced principals; in another, there were differences in procedures for those with continuous as opposed to term appointments.

Satisfactory and Unsatisfactory Principals

Only three boards gave any special attention to procedures for principals found to be performing unsatisfactorily. This situation is in marked contrast to that for teachers, where 42 boards outlined, some in extensive detail, the procedures to be followed for teachers considered to be performing at a less than acceptable standard. Of the three boards whose principal policies considered the matter, only one had more than a few sentences.

Explicit Differentiation of Appraisal Systems into Two Types

Although a few boards also made brief references to some sort of differentiation in the purposes or focus of their principal appraisal system, only five boards made explicit the nature of this differentiation. This situation again stands in marked contrast to that for teachers, where 19 boards differentiated their evaluation systems, using formative/summative, administrative/non-administrative, supervision/evaluation, or classroom/comprehensive distinctions.

For their principal appraisal systems, two boards used the formative/summative distinction, which was the most common distinction among teacher evaluation systems and which is illustrated by the following example:

> Formative Review
>
> Formative review occurs during the process of managing and administering a school and is a supportive, developmental process directed at the following goals:

- To encourage and support the practices and qualities of the successful Catholic Principal.
- To identify the needs of the individual principal for continued professional growth and development.
- To provide a means for identifying, maintaining and improving the quality of education in our schools.

Summative Review

The summative review of a principal judges the effectiveness of the management and administration of a school by an individual in order to meet the following goals:

- To determine if continued appointment will be recommended.
- As a basis for the demotion of an incompetent practitioner.
- To determine if an increment will be granted or withheld.
- As a basis for the promotion of an individual to a position of greater responsibility.

The other three boards differentiated the appraisal process essentially into a less formal and more frequent process and a more formal and less frequent process. In all three boards the former process was characterized by annual objective-setting under the supervision of the superintendent. The latter process typically included, in addition to the same objective-setting, more frequent contacts between principals and their appraisers, and more detailed reporting on the appraisal. Figure 11 illustrates the difference between the two processes.

Figure 11: Differentiation of Principal Appraisal System into Two Types (Policy Excerpt)

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1. OVERVIEW....

Application of Evaluation Model	All Principals will receive an annual evaluation, either formal or informal.
Types of Evaluation	A: FORMAL EVALUATION Formal evaluation of each Principal will occur every four years. Annually each Superintendent will select the appropriate number of Principals to be evaluated by him and will advise those individuals accordingly following placement of Principals for the forthcoming year. During the year of formal evaluation, the Superintendent will be required to visit the school in the fall term to establish strategies for the evaluation; to subsequently visit the school through the school year a minimum of five times for the purposes of evaluation; and to submit to the Director of Education a formal evaluation report at the conclusion of the evaluation. B: INFORMAL EVALUATION Informal evaluation of each Principal will occur in each year excepting the year in which formal evaluation is scheduled to take place. At the commencement of each school year, the Principal will determine the aims and objectives for the school. The school Superintendent will visit the school in the fall term to discuss the statement of intent with the

Figure 11 (continued)

Principal. In the second term, a return visit will be made by the Superintendent to discuss with the Principal progress with respect to that statement of intent.

Following this discussion, the Principal will submit to his Superintendent a written summary of progress toward the achievement of the aims and objectives for the school for that year.

Evaluation Cycle

The annual evaluation cycle for both formal and informal evaluation begins with the identification by the Principal of his aims and objectives for the school year. A plan of action is then established to determine how these are to be achieved, and to agree on activities in which Principal and Superintendent are to be involved. Following the implementation of the plan, in the year of formal evaluation, evaluator and evaluatee participate in an interim review and make adjustments where required to the initial plan of action.

Evaluation Reports

Where formal evaluation is scheduled, the submission of the evaluation report by the Superintendent to the Principal is the next step in the cycle, and is followed by a post-evaluation conference between the two individuals. The report is then submitted to the office of the Director, and the cycle is completed by the important follow-up to evaluation which includes the implementation of the recommendations contained in the report and their possible incorporation into the aims and objectives for the following school year. In this way, the cycle builds on previous experiences and promotes the improvement and growth which are basic purposes of the evaluation process.

In those years where informal evaluation occurs, a year-end summary report of progress will be forwarded to the Superintendent by the Principal. While flexibility is to be allowed with respect to the time for the submission of the report, the latter must occur prior to the completion of the school year....

3. THE SUPERINTENDENT'S FORMAL REPORT

Purpose of the Report

i) The primary purpose of the Superintendent's Formal Report is to act as a guide in measuring the continuing development of the school, principal, and staff. It is a reporting instrument which provides the Superintendent of Education with a formal means for recording his monitoring and assessment of the direction, programmes, organization, supervision, management, staff development and Catholic leadership within the school. The Report represents a culmination of the Superintendent's dialogue with the Principal, discussions with the staff and students, and involvement in the school, as well as his observations and visitations throughout the school year. It, therefore, provides a regular review, and serves as a mechanism for furnishing a profile of strengths and weaknesses which forms the basis for the initiation of further growth and development.

Local Conditions

ii) The Report shall take into account local school and neighbourhood conditions and constraints which might influence significantly the educational programmes and processes in the school. Such factors might include the following:
-the character or make-up of the school population (e.g. dominance of learning problems, affluent families);
-the type of area or neighbourhood served by the school (e.g. inner city, new expanding subdivisions, socio-economic structure, ethnic influence, decline or growth area);
-staff make-up (attitudes, experience, turnover);
-notable physical plant limitations and conditions (e.g. absence of library or gym facilities, substandard classrooms, portables);
-other extenuating circumstances (e.g. disruptive renovations programme for six months of the year).

Figure 11 (continued)

Nature and Contents	iii) The Report shall be formative in nature, anecdotal in form, and shall be positive and constructive in character. Further, the Report contents shall -indicate the degree of progress toward defined objectives; -be guided by functional areas outlined in the role definition for Principals in this system; -identify accomplishments and results; -note strengths and weaknesses; -include specific examples and data, where appropriate, to support impressions and conclusions; -encompass specific recommendations: (a) to the Principal and staff for improvement; (b) to the Director and Board to alleviate any undesirable situations or conditions....

4. EVALUATION PROCEDURES -- INFORMAL EVALUATION

Principal's Year End Summary	vi) The Principal shall submit to his Superintendent by the end of the school year a summary of progress towards the achievement of the school aims and objectives.

Evolution of Policy

Development

Eleven boards included, as a component of their principal appraisal policies, a description as to how those policies were developed. As was the case for teacher policies, the descriptive information consisted mainly of the composition of the committee developing policy and, in some cases, the purposes, history, and activities of the committee. The importance attached by many boards to the involvement of the group being appraised is illustrated by the following policy excerpt:

> In September of 1975, an intensive two-year professional development project, "A Study of the Principalship", was initiated in the ... system by principals for principals. Identified as part of the rationale for this undertaking was the need for continued evaluation of the principalship....
>
> During the study, principals recognized that evaluation must be a cooperative endeavour between evaluator and evaluatee, and that those affected by the process should be involved in its development and implementation. Herein lies a strength of the model for Principal Evaluation which is described in this handbook.
> This model for Principal Evaluation is truly the result of a cooperative effort. Throughout the development of the model, opportunities were designed for principal and supervisory officer input and reaction. From the establishment of the rationale to the determination of the various components of the model, principals and senior officials were active participants. This same spirit of cooperation is reflected in the team approach which is inherent in the determined evaluation process.

Implementation

Table 23 shows that only seven boards provided any information about how their principal appraisal system would be implemented. In general, implementation was to be carried out by providing in-service programs to enable development of appraisal skills. Only one board paid extensive attention to the implementation process. This board, when adopting a new policy, established an implementation steering committee, identified for the committee a series of implementation tasks and possible obstacles to their accomplishments, and set out a series of guidelines for implementation.

Review

Eight of the boards submitting information made some reference to a mechanism for reviewing the appraisal procedure and, on the whole, this information was even less complete than that for policy development and implementation. These eight boards, in general, indicated only that there would be a review of the procedure; a few provided specific detail as to how often the review would be conducted and/or by whom.

Cluster Analysis

Cluster analysis again was used to see whether or not principal appraisal systems could be grouped into distinct types. Eighteen components of the appraisal process were included in the analysis and again no clear groupings emerged.

However, there was a tendency for a certain set of components to be included in most of the policies where an evaluation team approach was used. Boards with such policies usually were the only ones to include specifications that particular documents and written submissions should be examined as part of the appraisal, that observation should also be used as a method for collecting data, and that information about the principal should be collected systematically from some members of the school staff. Boards with evaluation teams also included in their policies other features (e.g., pre-conferences, post-conferences, specification of the length of the appraisal) which were *not* unique to policies specifying teams.

The fact that no clear clusters emerged around the evaluation team approach (despite a certain set of commonly held component features) seems again to suggest that policies are aggregates of independent components with different parts being based on different sets of assumptions.

Superintendent Appraisal Policies

Only 46 of the 119 boards that provided appraisal information submitted some sort of information about superintendent policies. Various components that may be part of a superintendent appraisal system are listed in table 27. As in table 19 for teachers and table 23 for principals, the number and percentage of boards whose systems include these components are given. Percentages are expressed with respect to all 119 responding boards and to the 46 boards which submitted superintendent information. The hierarchical organization of the table resembles that for tables 19 and 23, although there are some additional and some deleted categories.

Table 27: Number and Percentage of Boards Specifying Particular Components in Superintendent Appraisal Policies

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 46 Boards with Superintendent Policies
Preparation			
Purposes			
development/ improvement: general	10	8.4	21.7
development/ improvement: specific	12	10.1	26.1
administrative: general	5	4.2	10.9
administrative: specific	7	5.9	15.2
Criterion domains			
administrative performance	9	7.6	19.6

Table 27 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 46 Boards with Superintendent Policies
school and community relations	15	12.6	32.6
program organization	8	6.7	17.4
personnel management	10	8.4	21.7
contribution to board	6	5.0	13.0
Standards	0	0.0	0.0
Job description	15	12.6	32.6
Activities prior to appraisal			
request for statement about objectives, activities and plans	3	2.5	6.5
request for self-evaluation	2	1.7	4.3
pre-conference	23	19.3	50.0
interim conference	19	16.0	41.3
Objective-setting	39	32.8	84.8
Data Collection			
Data collection methods			
examination of documents	4	3.4	8.7

Table 27 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 46 Boards with Superintendent Policies
interview	26	21.8	56.5
other	2	1.7	4.3
Sources of information			
superintendent being appraised	23	19.3	50.0
director	1	0.8	2.2
board staff	1	0.8	2.2
trustees	1	0.8	2.2
Appraiser(s)			
superintendent being appraised	13	10.9	28.3
other super-intendents	5	4.2	10.9
director	35	29.4	76.1
trustees	5	4.2	10.9
team	2	1.7	4.3
Time spent			
frequency	28	23.5	60.9
Reporting and follow-up			
Post-conference	22	18.5	47.8
Written report	18	15.1	39.1

Table 27 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 46 Boards with Superintendent Policies
Destination of report			
superintendent	11	9.2	23.9
central office file	6	5.0	13.0
trustees	6	5.0	13.0
Follow-up			
plan developed	6	5.0	13.0
monitoring of plan	5	4.2	10.9
Differentiation of procedures			
Differentiation between procedures for satisfactory and unsatisfactory superintendents	2	1.7	4.3
Explicit differentiation of appraisal system into two types	2	1.7	4.3
Evolution of policy			
Development of policy	8	6.7	17.4
Implementation of policy	4	3.4	8.7
Review of policy	2	1.7	4.3

Preparation

Purposes

As was the case for teacher and principal policies, those for superintendents reveal a greater concern for developmental/improvement purposes than for administrative purposes.

Among the boards providing superintendent information, the percentage including some specification of purposes was substantially lower than for the boards submitting principal information. For example, for superintendents 26.1 per cent described specific developmental/improvement purposes and 13.0 per cent described specific administrative purposes, while for principals the figures were 47.6 per cent and 27.0 per cent respectively.

Not only are the number and percentage of boards describing specific purposes for superintendent appraisal smaller than those for the other groups considered, but also the portions of these policies which describe the purposes of superintendent appraisal are very brief. The following, which treats both developmental/improvement and administrative purposes, was the most comprehensive statement analysed:

> Little or no personal and professional growth occurs without a periodic inventory of strengths and weaknesses. Quality control and the pursuit of excellence in the performance of duties are principles to which public servants must ascribe. The supervisory officers of the ... Board of Education have articulated and have accepted the following general purposes for systematic performance reviews:
>
> 1. To provide answers to the question, "What do they do?"
> 2. To provide opportunities to secure validation of the roles and to give direction to those performing the roles.
> 3. To provide the system with methods and opportunities to analyze its various components so that priorities may be set, resources allocated appropriately, directions given and improvements made which will positively affect the quality of education for pupils.
> 4. To provide information so that the system can better make decisions respecting promotion, tenure, task assignment and remuneration.
> 5. To stimulate self growth and to have individuals recognized for their contributions.

97

More typical in their brevity are the following two:

> The Administrative Council believes that a means of maintaining and improving the quality of management services now provided in our jurisdiction is to conduct a system of annual performance review for all senior personnel. Such a system should gain two advantages:
>
> (a) Each individual's performance will be more finely tuned to meet the Board's objectives.
>
> (b) Each individual's skills will be assessed objectively and brought directly to bear on the current administrative problems.

and

> Performance Review should:
>
> (a) help the individual grow both personally and professionally,
>
> (b) protect both the employee and the employer against unfair practices, and
>
> (c) result in a general improvement of the system.

One stated purpose of appraisal that was unique to the superintendent level was the use of performance appraisal results to influence, in some way, salary decisions. While this purpose was specified by only four boards or 15.2 per cent of the 46 responding, these four constituted more than half of the seven considered in table 27 to have had "administrative: specific" components. How the appraisal information was used in salary decisions was not particularly detailed.

For example, from a board document:

> Through this process, rewards for performance can be fairly given. For some the rewards may be monetary. Apart from salary, other awards include honest feedback, recognition of good performance, support for training needs and so on.

An additional example comes from an informal letter submitted instead of a formal policy document:

> Our salary ranges are determined by the HAY Salary Determination Plan and our individual placement within the range is based upon performance. (This is accountability!)

Criteria, Standards, and Job Descriptions

From table 27, we can see that, among the 46 boards providing superintendent information, there is no evidence of rigorously defined standards of expected performance, apart from those that may be set in an objectives-based appraisal system. In addition, in contrast to the situation for teachers and for principals, there is relatively little attention paid to the specification of criteria. However, a component rarely seen in teacher and principal policies, namely, an explicit reference to a job description, is apparent in a substantial number of superintendent policies.

In analysing such policies from boards which did consider the matter of criteria in some way, we found that the criterion domain notion, so useful in the analysis of teacher and principal policies, was well suited to the superintendent policies of only a limited number of boards. Although seven boards did outline expected superintendent behaviours in terms of criterion domains such as administration, program, personnel, and community/board, there was difficulty in applying the notion of criterion domain to the superintendent policies of some of the other boards. Several factors account for this situation.

First, several boards outlined expected performance for superintendents in terms of general management skills (or competencies, or, in one case, management factors) and/or qualities, rather than outlining specific expected behaviours in various domains. There was considerable variety among these boards in the amount of detail specified. Typical of the less complex was the following:

> The duties of the Senior Academic Officials include but are not limited to planning, directing, controlling, analyzing, communicating and organizing. An individual's effectiveness in the performance of these responsibilities will be reflected in the results achieved and described through a goal/objective-setting process.
>
> At the same time it is recognized that inter-personal effectiveness and an individual's ability to promote good working relationships within and without the school system are vital to successful support of the Board and its aims, objectives and policies.

A more elaborate example, which is characterized to some extent by the management skills approach, appears in figure 12. Both examples also reflect the centrality of the results of objective-setting in assessing performance.

Figure 12: Criteria for Superintendent Appraisal (Policy Excerpt)

FACTOR

1. MANAGING STAFF

   Cooperation and teamwork
   Exchange of ideas
   Building esprit de corps
   Trust and respect of staff

2. KNOWLEDGE OF JOB

   Scholarship
   Thorough knowledge of job
   Understanding interrelationships with other functions
   Objectivity
   Keeping abreast of new developments

3. EMPHASIZING GOALS AND ACHIEVEMENT

   Clarification of group objectives
   Encourage employees
   Carry out system goals
   Set and maintain high employee performance standards

4. PROBLEM SOLVING AND DECISION MAKING

   Integration of information
   Identification of problems
   Separation of non-essential from critical data
   Creative and innovative ideas
   Analytical thinking
   Objectivity

5. ORGANIZING AND FACILITATING WORK

   Organization and planning
   Defining work relationships
   Delegation, control, follow-up
   Communication
   Flexibility

6. APPRAISAL AND DEVELOPMENT OF STAFF

   Realistic and objective appraisals
   Good record of employee performance
   Quality of reviews with staff
   Follow-up to help staff improve and set up development plans

7. ECONOMICS MANAGEMENT

   Efficient use of finances, budgets, facilities, equipment, and supplies

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Another reason that criterion domain was somewhat less useful for the analysis of superintendent policies was that, in several boards, the expected behaviours for superintendents were elaborated in terms of duties to various groups with which the

superintendent worked rather than in terms of particular functional domains or types of activities. An example of this approach (which again makes explicit reference to the setting of objectives) appears in figure 13.

Figure 13: Superintendent Responsibilities (Policy Excerpt)

C.2 Expectations of the Supervisory Officer

In addition to the Acts and Regulation, it is the expectation of the ... Board of Education that each supervisory officer will develop a positive learning environment in the school in each of the following areas:

a) System Expectation for 19--

I. Role in Administrative Council

-reflects views of Family/Department to Council members.

-accepts constructive criticism by peers at Council.

-contributes ideas, professional expertise to Council to assist in quality decisions.

-assists in making the Administrative Council function smoothly, effectively.

-listens to views of other Council members.

-prepares information, reports and recommendations to Administrative Council on time, in a clear manner for discussion and disposition.

-supports Council decisions in a positive manner in Family/Department.

-communicates Council business to Family/Department.

II. Role as Liaison Member to Association/Federation

-attends as many of the Association/Federation meetings as possible or is invited.

-takes a part in the organization of meeting, topics to be placed on the agenda together with the executive of the Association/Federation.

-keeps Association/Federation informed of Administrative Council, Board policy changes, Administrative regulations.

-consults with Association/Federation to ascertain views on issues to come before the Administrative Council.

-reflects the views of the Association/Federation at Administrative Council re issues of concern.

-informs the Administrative Council of items discussed at liaison meetings, recommends follow-up.

III. Executive Membership on Board Committees

-works with the Chairman to establish the agenda, meeting time/place.

-reviews the agenda items with the Director and any other staff involved prior to the meeting.

-carries out the follow-up required and informs Administrative Council of key matters.

-assists the Chairman in the operation of the meeting.

Figure 13 (continued)

-keeps in close contact with the various trustee members of the committee re agenda items, information.

-works with the Assistant to the Director and Recording Secretary re minutes of meetings, agenda, publicity, etc.

IV. Special Studies Responsibility

-works within guidelines/terms of reference of study.

-selects and acquires appropriate staff to assist in study.

-gives all those publics concerned an opportunity to contribute in a meaningful manner through the development of a clear process for the study.

-keeps Administrative Council, Board informed of progress.

-establishes time line and adheres to commitments for submission.

-submits a complete report with firm recommendations for Administrative Council/Board.

V. Other

-works within the framework of the ... Philosophy of Management.

-has the concern and needs of students, staff, associates, uppermost in mind in decision-making.

-is positive in public support of actions of fellow staff, trustees, Board of Education.

-seeks to improve himself as a professional educator.

-leads in a pleasant, open, honest manner.

-gives credit and recognizes others' contribution to the system.

-is a team man.

(b) Family/Department Objectives for 19--

The staff within your Family/Department look upon the Superintendent as their leader. Together with them, they expect that he will assist in the establishment of objectives for the Family/Department which are realistic, attainable and within those of the Board of Education and its resources. The process of firming up these objectives is viewed by staff and Director as equally important to the actual implementation and completion of the Family/Department objectives. Consequently, Superintendents must use their leadership skills to help identify problems, resources needed to solve them, and measurement tools required to evaluate successes/failures. He must also recognize the time input required by staff and temper his annual planning with this in mind.

(c) Personal Expectations for 19--

Each year, the Superintendent must examine his own Family/Department and how he operates within the job expectations. It is a goal of all of us that we will attempt to improve upon our leadership role, our administrative procedures, our handling of people, our communications and public relations roles, etc. As Superintendent, he should identify these in terms of an opportunity to share them with the staff and the Director in order that it is possible for a judgement to be made with him as to the relative success in meeting these expectations.

Despite these difficulties, all superintendent policies and/or procedures which referred to criteria in any way were coded in terms of domains, and the one most frequently mentioned was the superintendent's need to communicate and co-operate with the community.

Fifteen of the 46 boards made explicit reference to the position description as a means of determining whether or not performance was at the expected level. Of these, six boards submitted detailed descriptions of the responsibilities of particular positions. Although these descriptions look very much like the lists of behaviours expected of a "good" superintendent, they are written in terms of specific responsibilities expected in a unique position rather than in terms of ideal performance in a superintendent's role. This explicit focus on particular position descriptions may constitute yet another reason that the number of boards outlining criteria for ideal superintendent performance is so low in contrast to that for ideal teacher or principal performance.

Activities Prior to Appraisal

Two boards specified that a superintendent should do a self-evaluation in preparation for appraisal, and three specified that the submission of written objectives be used to initiate the appraisal process.

Twenty-three boards had as a component of their superintendent system the specification that a pre-appraisal conference be held. This conference in almost all cases involved the setting of objectives against which later performance was to be assessed and the specification of methods to be used in attaining objectives.

Nineteen boards specified that, in addition to the original objective-setting conference, another conference be held later to review progress and, if necessary, to revise objectives and plans.

Objective-Setting

The setting of objectives is central to the appraisal of superintendents. As is seen in table 27, 39 of 46 or 84.8 per cent of the boards reported the use of objective-setting. Comparisons with tables 19 and 23 show that, respectively, 42.7 per cent of boards submitting teacher policies and 74.6 per cent of boards submitting principal policies indicated objective-setting components of their policies.

The terminology and exact detail of the objective-setting process vary considerably among boards. Some, for example, concentrate objectives within "key result areas" and develop clear indicators for the successful achievement of objectives. Others use the "manager's letter" approach to objective-setting. Despite this diversity, there are, as there were for objective-setting for principals, several features common to many boards' policies.

First, on the whole, objective-setting is conducted jointly by superintendent and appraiser. Nineteen boards of the 39 which reported the use of objectives also noted that the process was collaborative. However, there is a sense in the policies of some boards that, in contrast to objective-setting at the principal level, the process is less one of collaborative objective-setting than one involving delegation of responsibilities. For example:

> The senior administrators are responsible for managing the school system on behalf of the Board and this includes managing the achievement of the biennial objectives and long-range goals established by the Board. This policy outlines the processes through which these objectives will be set, how responsibilities will be delegated, and the schedule for reviewing achievement of the objectives.

This excerpt illustrates a second feature of the process involved in superintendent appraisal, that objectives are set within the framework of the objectives set by the board and director. Ten responding boards made this explicit in their policies.

Third, objective-setting is a cyclical process, with 19 boards reporting that they set objectives annually and two reporting that they do so every two years.

In several of these boards the post-appraisal conference for one cycle and the pre-appraisal conference for the following cycle are one and the same. For example:

> One interview is held at least bi-annually for the purpose of assessing overall job performance for the past year, and for mutually developing and confirming objectives and plans for the next year.

Fourth, objectives are modifiable. As was stated earlier, 19 boards, or approximately half of those reporting the use of objective-setting, also indicated that there should be a meeting part way through the objective-setting cycle to review progress to date and to consider the revision of objectives.

Data Collection

Methods

Interviewing was the method of data collection most often specified in superintendent policies. Four boards specified that written documents (e.g., self-evaluation forms) be examined as a part of the process. Only two boards supplied considerable detail regarding methods of collecting data. The list in the following excerpt is used by both boards:

> The process of evaluation will be based on a review of the degree of success in reaching objectives which have been decided on for the year and by a process of observation and discussion taking place over the year by the Director through:
>
> -visitations
> -attendance at principals' meetings
> -communication, both written and verbal
> -interaction with fellow supervisory staff
> -interaction with trustees
> -interaction with the public
> -involvement and contribution to policy setting
> -observation of role in the committees and at Board
> -quality of work output
> -the level of acceptance of leadership

Sources of Information

Among boards that did specify the source of information in the superintendent process, the source most frequently cited was the individual superintendent. One board required the appraiser to seek information from board support personnel, while another required the appraiser, a superintendent, to seek information from the director and trustees.

Appraiser(s)

As is seen in table 27, 35 boards specified the director as the superintendent's appraiser and five specified that trustees be involved. Five boards, all of which were reasonably large, specified that the appraiser be another, more senior superintendent. Thirteen boards indicated that the superintendent should be encouraged to conduct some self-evaluation. Only two boards had a team approach to evaluation; one had the director, and subsequently a committee of the board, appraise superintendents, while the other had three trustees and the director meet with each superintendent to appraise performance.

Time Spent

Twenty-eight boards, or 60.9 per cent of the boards providing superintendent information, had as a component of their policies the frequency with which appraisal should occur. Of these, 22 specified that appraisal should take place annually, while six specified that it should occur every two years.

Reporting and Follow-Up

Post-evaluation Conference

Twenty-two boards specified the holding of a conference to end the appraisal process.

Form of Report

Eighteen boards indicated that a written report on the appraisal should be made. Only eight of these indicated the precise form that the report should take. While four boards specified the use of anecdotal reports (with comments made either in general or under particular topic headings), four specified the use of ratings of particular categories of behaviour.

Destination of Report

Eleven boards specified that a copy of the report go to the superintendent being appraised. In six boards, a copy of the report was to be kept in the director's or central files, and in another six the report was to be presented, in either written or oral form, to the trustees.

Follow-Up

Planning for improvement and monitoring of such plans were included as policy components even less often for superintendents than they were for principals and teachers. Only one board provided discussion of the subject, and an excerpt from its policy appears as figure 14.

Figure 14: Resources for Assistance for Superintendent Improvement Following Appraisal (Policy Excerpt)

Help!

How do I become a better supervisor? Where do I go for professional help?

At one time, these were difficult questions to answer. It would appear that an attitude prevailed of having reached such a high level, competency was inherent and long term. We now know that none of us in a leadership role can afford to stand still. There will always be new skills to learn and new approaches to problem solving required.

The responsibility for meeting these challenges is both a personal and system one. In this section of help, we again emphasize that our suggestions are limited and must be examined in the light of personal needs:

a) Personal -Self Evaluation
-Professional Reading
-Planned interaction with peers
-Committee leadership
-Acceptance of responsibilities in professional organization
-Attendance at Workshops -- Teacher, Principal

b) System -Planned program of Visitation to other jurisdictions
-Conferences
-Workshops -- OAEAO, OCLEA, C.E.A. Leadership, Ministry of Education
-Summer Programs
-Job Rotation/Exchanges

Differentiation of Procedures

Satisfactory and Unsatisfactory Superintendents

Only two boards, as is seen in table 27, included in their policy any specification of the procedure to be followed if a superintendent's performance was unsatisfactory.

Explicit Differentiation of Appraisal System into Two Types

Only two boards made any differentiation of the appraisal system into two types. In both cases, there is an annual objective-setting process and in addition, every two years, a more detailed review of performance. To illustrate the differentiation, figure 15 contains an excerpt from the policy of one of these boards. This board's policy includes a very unusual amount of detail regarding the superintendent appraisal process.

Figure 15: Differentiation of Superintendent Appraisal System into Two Types (Policy Excerpt)

III. Yearly Evaluation

The annual review (April - June period) will focus primarily on the success, failure or delay in meeting the objectives for the past year. The stages will be:

i) The Superintendent will prepare a brief report for the Superintendent of Academic Affairs, outlining his/her own perceptions of what has been accomplished, can yet be accomplished, or will not likely be possible;

ii) as a result of reading this report, in conjunction with the earlier statement of planning prepared jointly, the Superintendent of Academic Affairs will prepare his own assessment, in writing, as a basis for discussions with the Superintendent;

iii) as a result of this discussion, areas of agreement and/or disagreement will be determined and the final report will be completed by the Superintendent of Academic Affairs for the Superintendent and the Director.

IV. Summative Evaluations

Normally, the first year, and alternate years thereafter, will be summative years in which the evaluation will be an in-depth review of the success or failure of the Superintendent in meeting the objectives for past years, as well as in meeting the expectations for the role of Superintendent.

The process will be similar to that of the yearly evaluation, but shall take place at a mutually agreed upon time of the year. While based, to a great degree, on the cumulative record of achievement included in the yearly evaluation, the summative evaluation will focus as well on the suitability of the Superintendent for his role.

Using the earlier reports of the annual assessments, the Superintendent of Academic Affairs will prepare a draft report which will also include:

1. his perceptions and written analysis of the Superintendent's impact on the system, his major accomplishments, any areas of concern, his personal development plans and any professional (career) plans;

2. the perceptions of the Director with respect to the items listed in #1 above;

3. the perceptions of the Trustees with respect to the items listed in #1 above.

The Superintendent of Academic Affairs will be responsible for soliciting comments in writing from the Director, from Trustees on the work of the Superintendent with the Board, and from those Trustees with whom the Superintendent has worked most closely on the work of the Superintendent in the community.

Copies of the comments obtained shall be provided to the Superintendent.

The Superintendent will also prepare his own report, (general basis) and the evaluation will begin with a personal exchange of written reports, immediately followed by a discussion to develop areas of agreement and disagreement. A final report which details those areas and any recommendations, and the Superintendent's comments (if any) is to be prepared, by the Superintendent of Academic Affairs, and communicated to the Superintendent and Director. The report is placed on file, in the office of the Superintendent of Academic Affairs, available for Board use upon written request of the ... Board of Education. Each Superintendent's personal file and evaluation records are available to that individual at any time.

Evolution of Policy

Only eight boards provided information about how the superintendent appraisal policy was developed, only four provided information about implementation, and only two specified that the policy be reviewed.

Director Appraisal Policies

Thirty-eight of the 119 boards supplying appraisal information submitted information regarding directors. The components of their policies are presented in table 28 in a manner similar to that used in tables 19, 23, and 27. For each component the number and percentage of boards including it are listed and percentages are expressed in terms of both all 119 responding boards and the 38 boards supplying director information. Hierarchical organization and categories are similar to tables 19, 23, and 27.

Table 28: Number and Percentage of Boards Specifying Particular Components in Director Appraisal Policies

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 38 Boards with Director Policies
Preparation			
Purposes			
development/ improvement: general	12	10.1	31.6
development/ improvement: specific	6	5.0	15.8
administrative: general	3	2.5	7.9
administrative: specific	7	5.9	18.4
Criterion domains			
administrative performance	9	7.6	23.7
school and community relations	10	8.4	26.3

Table 28 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 38 Boards with Director Policies
program organization	6	5.0	15.8
personnel management	6	5.0	15.8
contribution to board	7	5.9	18.4
Standards	0	0.0	0.0
Job description	7	5.9	18.4
Activities prior to appraisal			
request for statement about objectives, activities and plans	8	6.7	21.1
request for self-evaluation	2	1.7	5.3
pre-conference	13	10.9	34.2
interim conference	13	10.9	34.2
Objective-setting	30	25.2	78.9
Data Collection			
Data collection methods			
examination of documents	1	0.8	2.6
interview	10	8.4	26.3
Sources of information			
director being appraised	18	15.1	47.4
trustees	2	1.7	5.3

Table 28 (continued)

Component	Number of Boards	Percentage of All 119 Responding Boards	Percentage of 38 Boards with Director Policies
Appraiser(s)			
director being appraised	2	1.7	5.3
all trustees	12	10.1	31.6
committee of trustees	17	14.3	44.7
Time spent			
frequency	24	20.2	63.2
Reporting and Follow-up			
Post-conference	17	14.3	44.7
Written report	12	10.1	31.6
Destination of report			
director	4	3.4	10.5
trustees	14	11.8	36.8
Follow-up			
plan developed	4	3.4	10.5
monitoring of plan	3	2.5	7.9
Differentiation of Procedures	0	0.0	0.0
Evolution of Policy			
Development of policy	2	1.7	5.3
Implementation of policy	1	0.8	2.6
Review of policy	2	1.7	5.3

Preparation

Purposes

The discussion of the purposes of director appraisal was, as for superintendents, very brief.

The director level is the only one in which a greater percentage of boards listed administrative rather than developmental/improvement reasons as the specific purposes for appraisal.

Of the seven boards indicating a specific administrative purpose, five specified that appraisal was used in salary decisions.

Criteria, Standards, and Job Descriptions

In general, policies for director appraisal are very similar to those for superintendent appraisal, and this is definitely so with respect to criteria and standards. There is again no evidence of rigorously defined standards and, in comparison with the situation for teachers and principals, not much attention paid to specifying criteria. Figure 16, included later as part of the Data Collection section, illustrates one of the more complex sets of criteria for directors.

The tendency, noted in superintendent policies, to deal with criteria by employing the notion of management skills rather than by outlining lists of expected behaviours in functional criterion domains was even more marked among director policies, as was the tendency to list personal qualities as indicators of an effective director.

However, for directors, there was less use of the approach taken among superintendent policies that involved outlining duties and responsibilities primarily with respect to the various groups with whom the superintendent worked.

Among director policies, there was less frequent reference to job descriptions, and job descriptions themselves were less elaborate, than in superintendent policies.

Although, as tables 27 and 28 indicate, there are some similarities between pre-appraisal practices in director and superintendent policies, the pattern of components has some differences. Half the boards submitting superintendent information specified that a pre-conference be held and only 6.5 per cent specified that the superintendent prepare a statement about objectives, activities, and plans. In contrast, only 34.2 per cent of the boards submitting director information required a pre-conference to be held, but 21.1 per cent required a prepared statement. It appears that, in comparison with the procedures for superintendents, there is some tendency for directors to be required to prepare a statement of objectives on their own, prior to any meeting with their appraiser. The collaboration regarding objective-setting between appraiser and appraisee, which is the usual business of the pre-conference for all other staff categories, takes place somewhat less frequently for directors. When it does occur, it is in some cases done only after the director has made a formal presentation of objectives to the board.

Objective-Setting

As is the case in superintendent policies, objective-setting is a very commonly specified component of director policies. Although some features (specifically, the cyclical nature of the process and the fact that interim modification of objectives is possible) of director objective-setting are similar to those for superintendents, there are two ways in which objective-setting for directors is unique.

First, there is somewhat less indication that objective-setting is to be a collaborative process, with only about one-third of the 30 boards that report objective-setting also specifying such collaboration. As mentioned earlier, in many cases the director is solely responsible for setting goals which are presented to the board. In some such situations, the quality of goals set, as well as the extent to which they are later fulfilled, are considered in appraising the director.

Second, although the policies of a certain number of boards specify that the objectives set by the director must be consonant with those set system-wide by the board, in other boards the objectives that the director sets are apparently used as overall system goals.

Data Collection

Methods

As is seen in table 28, of the 11 boards specifying the method used to collect data for directors, all but one included an interview technique. A smaller percentage of boards, however, specified this component for directors than did for other categories of staff.

Sources of Information

Only two boards indicated that sources other than the director were consulted by those appraising the director. In both of these boards, all trustees were asked to complete an evaluation form and to return it to the chairman of the board. In one case, the chairman collated the responses and prepared a summary for use at the evaluation meeting; in the other, all completed evaluation forms were given to the director, who prepared a summary. Figure 16 includes the form used by one of the boards.

Figure 16: Trustee Evaluation Form for Director Appraisal (Policy Excerpt)

DIRECTOR PERFORMANCE REVIEW

AREAS OF ASSESSMENT High Med. Low

1. EFFECTIVE COMMUNICATION

1.1 Communication with Trustees

The Director has:

1. made trustees aware of the on-going progress of projects or areas of concern;
2. made trustees aware of on-going implementation of policy -- progress and problems, prognosis;
3. made trustees aware of current trends, legislation, forces, provincial policies;
4. made trustees aware of all alternatives and implications of decisions at Board level; provided us with sufficient information for making decisions;
5. been accessible to hear individual trustees' concerns;
6. made trustees aware of personal concerns and convictions, as well as those of senior administration and system.

1.2 Communication with the Community

1. maintained contact with the community;
2. effectively responded to concerns and issues in the public forum;
3. been personally accessible.

Figure 16 (continued)

High Med. Low

1.3 Communication with the System

1. ensured the development and growth of a model of communication which allows for the flow of information and feedback;
2. maintained contact with the system;
3. provided for increase in awareness of all levels of the system;
4. been personally accessible.

2. EFFECTIVENESS IN THE MANAGEMENT OF HUMAN RESOURCES

The Director has:

2.1 provided clear roles and expectations for members of the administration;
2.2 ensured that individuals are in roles suited to their strengths, interests, and abilities;
2.3 delegated authority related to defined roles and responsibilities;
2.4 carried out evaluation of senior administrative staff;
2.5 provided opportunities and encouragement for individual growth and professional development;
2.6 been conscious of enhancing satisfaction and motivation of staff;
2.7 involved staff appropriately in decision-making processes and system planning and development;
2.8 facilitated co-operative effort between individuals and within and across different groups in the system;
2.9 been sensitive to the thoughts and feelings of others, and understanding of the different perspectives of other individuals and groups;
2.10 successfully managed difficult personnel issues;
2.11 provided a supportive climate for people;
2.12 demonstrated both fairness and firmness;
2.13 ensured that effective processes for the management of human resources are carried out throughout the system;
2.14 been conscious of providing for his own job satisfaction and professional development.

3. EFFECTIVENESS IN POLICY DEVELOPMENT

The Director has:

3.1 identified needed areas for policy development;
3.2 anticipated future needs;
3.3 set priorities for policy development;
3.4 ensured thorough development of policy;
3.5 ensured effective policy implementation;
3.6 ensured effective evaluation of new and continuing policies.

4. ORGANIZATIONAL SKILLS; TECHNICAL KNOWLEDGE

The Director has:

4.1 developed an organizational structure which functions effectively in meeting the needs of the system;
4.2 demonstrated necessary knowledge of every aspect of the educational system, and awareness of issues affecting teaching and learning;
4.3 ensured effective management and co-ordination of each facet of the educational system;
4.4 demonstrated the ability to implement ideas and effectively institute change;
4.5 provided for the development and implementation of long-range plans;
4.6 provided for a sense of direction in the system.

Figure 16 (continued)

High Med. Low

5. CONCEPTUAL SKILLS

5.1 is able to look at issues from many diverse perspectives and, therefore, is able to move beyond conventional forms of problem solving and into an arena which allows for a great deal of creative thinking in working through situations;
5.2 is constantly thinking and searching for new and creative ideas to enhance the life and vitality of the school system;
5.3 exhibits a keen understanding of self, others, and the broader society;
5.4 reads a wide variety of materials and has a comprehensive view regarding ideas and philosophies of education and life;
5.5 is excited about the world of ideas and is constantly searching for higher levels of personal insight and meaning.

6. PERSONAL QUALITIES

The Director:
6.1 performs well under pressure;
6.2 copes successfully with the continuing stress and demands of the position;
6.3 demonstrates personal strength and confidence;
6.4 is decisive, yet can be flexible when warranted;
6.5 demonstrates good judgement;
6.6 maintains personal integrity;
6.7 demonstrates high commitment to education and to the needs of students;
6.8 is able to deal realistically with problems yet keeps a positive perspective.

DATE TRUSTEE'S SIGNATURE

Appraiser(s)

With the exception of two boards with policies specifying director self-evaluation as an initial stage in the appraisal process, there were only two types of appraisers indicated for directors. Twelve boards called for the entire board to evaluate the director. In 17 other boards, a small committee of trustees, usually called the Director's Review Committee, was to appraise the director and then report its findings to the entire board.

Time Spent

As was the case for teachers, principals, and superintendents, one of the most often specified components of director appraisal was the frequency with which it should be done.

Reporting and Follow-Up

In director appraisal policies, the pattern of components regarding post-conferences, reports, their destinations, and follow-up was very similar to that for superintendents. The sole exception to this was in the area of written reports on appraisals. Of the 12 boards specifying a written report, nine clearly indicated the form the report was to take. Three boards specified an anecdotal report, and six some sort of checklist or rating scale to appraise directors' personality traits, behaviours, or, in one case, objectives.

Differentiation of Procedures

None of the boards indicated that their appraisal procedures were differentiated in any manner.

Evolution of Policy

The number of boards providing information about the development, implementation, and/or review of their director appraisal policy was somewhat less than those providing analogous information for superintendents, and considerably less than those doing so for teachers and principals.

Summary

Results of the screening questionnaire and the policy analyses, taken together, indicate that appraisal policies are most widespread and most detailed for the teacher role. They become progressively less widespread and less detailed for principal, superintendent, and director roles.

When the components of the policies submitted for the four roles are examined, a few differences emerge clearly.

Preparation

With respect to preparation for appraisal, teacher policies included the most detail regarding the purposes of appraisal. Although policies for all roles except the director indicated that developmental/improvement purposes were more important than administrative purposes of appraisal, the emphasis was particularly marked for teacher policies.

The criteria by which appraisees were judged were much more frequently specified in teacher and principal policies than in those for superintendents and directors. For the latter roles, particularly for superintendents, there was more use of job descriptions as a mode of specifying expected performance.

While pre-conferencing was specified to some extent in all policies, there was also the requirement in some principal, superintendent, and director policies that the appraisee submit some sort of statement or documentation to begin the appraisal process. This requirement was most common for principals, where a substantial number of boards expected specific sets of information about the school to be submitted to the appraiser(s).

The setting of objectives on which performance could be appraised occurred at all levels, but was much less frequently included in teacher policies than in those of administrators. In addition, some of the objective-setting specified in teacher policies focussed on lessons, rather than on long-term plans.

Data Collection

Judging from the policy information submitted, we see that methods of collecting data for the appraisal of teachers and administrators differ greatly. Teachers are evaluated primarily through observation while the others are appraised primarily through interview techniques.

Most appraisal involves collecting information almost entirely from the appraisee. However, a number of principal policies specified that information about appraisees should be collected from a variety of other sources: teachers, department heads, vice-principals, superintendents, parents, and students.

The identity of the appraiser is perhaps the most widely specified of all components of appraisal systems and varies, naturally, with the role involved. In most situations, appraisal is conducted by individuals, but there are two exceptions. A substantial number of boards specified that an evaluation team be used for principals, and directors are appraised either by a small committee of trustees or by the entire group.

The frequency with which appraisal takes place is a commonly specified component of all policies. Some teacher and principal policies also included an indication of the duration of the appraisal process.

Reporting and Follow-Up

A considerable proportion of the boards submitting appraisal information specified a post-appraisal conference and the form the appraisal report should take. There also was relatively frequent specification of the destination of the appraisal report for teachers; this was less frequent for other roles.

The percentage of boards mentioning that a post-appraisal plan be adopted and monitored declines progressively from teacher, through principal and superintendent, to director.

Differentiation of Procedures

Teacher policies differ from those for principals, superintendents, and directors most markedly in the differentiation of procedures, with teacher policies including substantially more differentiation regarding appraisal procedures. There is differentiation between permanent and probationary staff, satisfactory and unsatisfactory teachers, and procedures used for different purposes and/or facets of evaluation.

Again, information on teacher appraisal policies includes substantially more detail about the development, implementation, and review of such policies than is the case for the other roles.

From the number of submitted policies and their complexity, as well as from the screening questionnaire data, it is clear that more attention has been paid across Ontario to the formulation of policies for teachers than for administrators. Among administrators, it is apparent that principal appraisal has received the most attention, and director appraisal the least.

CHAPTER 3

SURVEY OF PERFORMANCE APPRAISAL PRACTICES: DESCRIPTION OF FINDINGS

A major survey undertaken as part of this study of performance appraisal policies and practices in Ontario school boards had four major objectives: (1) to describe current practices in detail as they were perceived by teachers, principals, superintendents, directors, and trustees; (2) to describe the opinions of these groups concerning appraisal practices they believed ought to be followed; (3) to determine what performance appraisal practices are most effective; and (4) to provide a data-base to answer additional questions concerning performance appraisal practices.

This chapter describes the results of the survey and is divided into eight major sections. The first describes in considerable detail the methods used to conduct the survey and the nature of the resulting data-bases. The next four describe, in turn, the results of the survey as they relate to teachers, principals, superintendents, and directors. The sixth section provides a demographic profile of the respondents, the seventh data on dismissals and grievances, and the last conclusions and implications. Data from the survey of trustees are related in sections concerning teachers, principals, superintendents, and directors. Information on the evaluation of those in other roles within the educational system were not collected in the survey.

The data reported in this chapter were selected, for the most part, from Appendix A in Volume 2 of the Technical Report of this project. This appendix consists of sets of tables describing the results for each question in the survey, broken down by type of school (public elementary, public secondary, and separate). In most cases, only the overall results for the English-language survey are presented in this chapter, though important differences between respondents in different types of school are noted, as are differences between anglophone and francophone respondents.

In presenting the results in the four sections concerned with performance appraisal practices, we use the same framework as in the other major chapters of this report. Before proceeding to the findings, however, we describe the survey design.

Survey Methods

Carrying out the survey involved four tasks: selection of the sample, development of the questionnaire, administration of the questionnaire, and analysis of data.

Design of Sample

The sample of school boards selected for the the questionnaire survey was chosen to satisfy a number of criteria. First, the sample had to represent school boards (1) from all regions of Ontario, (2) of both types (public and separate), (3) of all sizes, and (4) with different types of performance appraisal systems. Second, it had to be of sufficient size to allow reasonably reliable inferences using parametric statistics. Third, it had to be adequate for one to make equally reliable statements about public and separate boards. Finally, a sufficient number of boards with significant numbers of francophones had to be selected to provide some information about performance appraisal systems affecting francophone educators.

Samples of individuals within boards also had to meet several criteria. First, their numbers could not total more than 6000 because of cost considerations. Second, a sufficient number had to be selected from each board for reliable estimates to be made of school board characteristics that required aggregate data. And third, it was desirable to be able to measure variation among schools within boards with reasonable reliability.

Data collection to select our sample has been described in detail at the beginning of chapter 2. For the reasons noted, we decided to concentrate only on 77 public and 49 separate school boards.

Three boards did not respond and were excluded from the study. Five boards requested exemption from later participation in the study on various grounds; prominent among these was that they were currently introducing a new performance appraisal system and felt participation in the study would not be appropriate. As well, we excluded the board selected for pilot testing all instruments and the case study methodology. Thus, we had a final population of 117 school boards, from which the sample was drawn.

To achieve the objective of making reliable inferences about all school boards, we selected a target sample size of 30, this being the minimal size for which one normally uses parametric statistical methods. With the expectation that about 15 per cent of the boards selected would decline to participate, we planned a sample of size 34.

All the variables noted in our first set of criteria above were incorporated in the design of the sample. In particular, the population was stratified by type (74 public and 43 separate boards) and region (43 northern, 18 western, 41 central, and 15 eastern boards). In the case of region, Ministry of Education definitions were used, with the northwestern, midnorthern, and northeastern being combined into one northern category. In all, there were eight cells from which subsamples were drawn.

To determine the number of boards to be drawn from each cell, sampling with probability proportional to size (PPS) was planned. This technique has a number of advantages. In this case, the most prominent was that the number of boards selected from each cell would reflect not the total number of boards in each cell but the relative size of the educational enterprise of all boards in each cell. Thus, the large number of small northern boards would not swamp the sample.

To ensure approximately equal numbers of public and separate boards, which was necessary if statements of equal reliability were to be made about them, we had to weight the sample selected so that public boards would be "undersampled" and separate boards "oversampled". In particular, a weight of two-thirds was used in selecting public boards (i.e., two-thirds the number were selected than otherwise would have been selected) and a weight of two was used to select separate boards.

The basic elements of the sampling design are displayed in table 29. In it, sampling with simple PPS is displayed in column 4 and PPS with weights in columns 5 (public boards) and 6 (separate boards). Note that enrolment was selected as the measure of board size.

Table 29: Sample Design for Performance Appraisal Survey

Board		1	2	3	4[a]	5[b]	6[b]	7[c]
Type	Region	No.	Enrol. 000's	Enrol. %	#3 x35	#4 x2/3	#4 x2	
Public	North	27	131	7.9	3	2	--	4
	Western	10	179	10.7	4	3	--	2
	Central	28	817	48.9	17	11	--	8
	Eastern	9	150	9.0	3	2	--	2
					27	18	--	16
Separate	North	17	62	3.7	1	--	2	3
	Western	7	49	2.9	1	--	2	2
	Central	13	238	14.3	5	--	10	7
	Eastern	6	43	2.6	1	--	2	2
		117	1670	100.0	8	--	16	14

[a] Column 4: As proposed in contract.

[b] Column 5 & 6: As revised.

[c] Column 7: Actual sample.

To select the boards within each cell, either (1) PPS with implicit stratification and systematic sampling or (2) deep stratification with PPS was used. In the first instance, appraisal system (implemented system versus non-implemented system) and size were used as the variables to order the boards. In practice, all boards within each cell were first placed into two groups based on the responses in the screening questionnaires regarding the implementation and effectiveness of teacher appraisal systems recorded on the screening questionnaires. If scores, which ranged from 0 to 6, were 4 or below and a review of the policy showed it did not have clearly defined objectives, then the board was placed in the non-implemented category. If the score was greater than 4 or was 4 with clear objectives, it was placed in the implemented group. Within each of these groups, boards were ranked by size. Then a PPS sample was drawn using an appropriate interval to produce a sample of the requisite number of boards from that cell. Tables of random numbers were always used to select the first board in the subsample.

Deep stratification was used when there were two boards to be selected since the other technique could easily have produced a sample of two large schools. With deep stratification, pairs of boards were formed that were at the extremes, e.g., a large board without an appraisal system and a small board with one. Then, probabilities proportionate to the combined size of each pair were computed and a random selection of a pair was made.

To ensure an adequate sample size, we decided that, if the number of boards agreeing to participate fell below 28, backup boards would be used. For this purpose, the ordered lists prepared for the sampling process were used, and the board on these lists that preceded a board which declined to participate was selected. In practice, it was necessary to use these boards as the rate of refusal on the first round was about 30 per cent rather than the 15 per cent projected. The breakdown of the final sample of boards by type and region is displayed in column 7 of table 29.

Having selected the boards, we next selected individuals within boards to be sent questionnaires. These were in five categories: teachers, principals, superintendents, directors, and trustees. Since we used different procedures to select subjects in the English- and the French-language surveys, it is necessary to outline the procedures used in each.

To select teachers in the English-language survey, cluster sampling using schools as clusters was called for to make data collection easy and to make it possible to estimate variation among schools within boards. The total number of teachers to be selected numbered about 5000; this number was considered sufficient to produce approximately 3000 returns (allowing for a 60 per cent rate of return). If these were spread uniformly among all boards, there would be 100 respondents per board on the average. In the case of boards of education, this would provide about 50 respondents on average for each of the elementary and secondary panels.

We deemed inadequate the uniform allocation of questionnaires to boards suggested by the average figures, since it would provide little reliable information about differences among secondary schools in larger boards and more information than might be needed about variation among individual schools within boards. Indeed, in a number of boards in the sample, virtually all teachers would have been included. An alternative was to conduct a PPS sample of teachers. However, we discarded this option since only a handful of teachers would be included in the smallest boards and about 500 teachers in the largest board in the sample. In the latter case, this would have required sending surveys to all teachers in about 30 schools, a number which would have imposed too great a burden on one school board.

In practice, we compromised between the two extremes of PPS and uniform allocation. In the case of separate school boards and the elementary panels of boards of education, we selected 20 per cent of the schools if this number was between four and 16 inclusive; if it was smaller, we selected four schools (or all, if there were fewer than four); if it was larger, we selected 16. For secondary schools in boards of education, we selected 50 per cent of all schools if this number was between two and eight; if it was less than two, we selected two schools (or one, if there was only one); if it exceeded eight, we selected eight. We omitted private secondary schools associated with separate schools, as well as all French-language schools, the latter being surveyed separately.

The selection of schools within boards was done using systematic sampling with the Ontario Ministry of Education's Directory of Education, 1982/83 used as the sampling frame. In each case, a sampling interval *k* was selected by dividing the number of schools to be selected into the number of English-language schools in the board. Then, after a random start, every *k*th school was selected.

In the case of elementary and separate schools, questionnaires were sent to all teachers in the school. Questionnaires were also sent to all teachers in secondary schools with fewer than 40 teachers. In secondary schools with over 40 teachers, principals were asked to use a staff list to select every second teacher. (There were two exceptions to this practice, and both occurred in a single board. In one school with a staff of 75, at the principal's request all teachers received questionnaires; in another school with a staff of 155, at the principal's request only one-quarter of the teachers received questionnaires.) Assuming a 60 per cent rate of return, we expected a minimum of 16 questionnaires per school.

Principal questionnaires were sent to all principals in all but the two largest boards in the sample. For these two boards, questionnaires were sent to all principals of schools in which teachers received questionnaires and to a fraction of the remaining principals. In one of the two boards, principals of every third remaining (i.e., not involved in teacher sample) school received questionnaires; in the other board, principals of every sixth remaining school received questionnaires.

All academic superintendents were selected in school boards with 20 or fewer superintendents and approximately half of the superintendents were selected in larger boards. (The selection of only a portion of the superintendents took place in only two boards, the same two that did not include in the sample all principals in the board.) The primary concern in the case of superintendents was not to overburden a board's administrative staff rather than to achieve some minimal number of returns.

All directors in the 30 boards selected were included in the sample. Each of these was asked to select five trustees who were knowledgeable about performance appraisal procedures in their board and to forward questionnaires to them. Given that new school boards had taken office only a few months before the survey, we deemed random sampling methods unsuitable.

The final composition of the sample included 5655 teachers, 1211 principals, 214 superintendents, 30 directors, and 150 trustees.

Included within the English-language survey were the directors and superintendents in the two boards that had agreed to participate in the French-language survey. Hence, French-language surveys were sent only to teachers, principals, and trustees. In particular, all teachers and principals in French-language schools in these boards received questionnaires; as well, the directors were sent five French-language trustee questionnaires to distribute to francophone trustees they believed to be interested or knowledgeable about the performance appraisal of board staff.

Development of Questionnaire

Developing the survey instruments was a laborious but straightforward undertaking that occurred in four stages: (1) review of existing policies to develop a framework for the questionnaires; (2) writing of items to assess the presence or absence of practices identified in the review of policies; (3) pre-test of the questionnaires in a pilot study; and (4) revision of questionnaires to resolve problems found in the pre-test.

The framework for the questionnaires was outlined in the preceding chapter. In addition to questions relating specifically to practices, items were added that were concerned with policy development, implementation, and review, and that measured various demographic variables thought to be related to the performance appraisal of staff (e.g., experience in a given position).

The questionnaires were designed to measure both the general perceptions of respondents (e.g., how helpful a given practice is in general) and specific perceptions (e.g., how helpful a specific practice was in an individual's last performance appraisal). This distinction required the use of numerous screening questions to ascertain which practices a given evaluatee (or evaluator) had experienced.

Pre-test results were generally positive, though the length of the questionnaires was a concern. Multiple-choice items were therefore redesigned as checklists, and the number of questions each role incumbent was asked about the evaluation of those in other roles (e.g., teachers' opinions and experiences concerning principals) were reduced. The final questionnaires are reproduced in Appendix B of Volume 2 of this Technical Report.

For the French-language survey, the final versions of the English-language instruments were translated by a native speaker of French who was fluent in English. These questionnaires were vetted by a franco-Ontarian supervisory officer. Only a few changes were suggested. These were made, and the questionnaires printed.

Questionnaire Administration

Directors of the school boards selected were telephoned to request their participation in the questionnaire phase of the study; these calls were followed by letters requesting that a liaison person be selected with whom the researchers could co-ordinate delivery and collection of the questionnaires.

In a typical board, all questionnaires were sent by courier to the contact person, who then distributed them to the schools and personnel indicated in a letter of transmittal. A brief abstract of the study's purposes was provided so that each administrator would be adequately informed about the project.

The liaison person also collected the completed questionnaires, which were sealed in envelopes to protect confidentiality, and returned them by courier to the project staff at OISE.

Departure from this standard procedure occurred in several cases. In two boards in or near Toronto, teacher and principal questionnaires were sent directly to schools so as to reduce the administrative burden to these boards. The completed questionnaires were also returned directly to OISE.

Overall, this process worked well and data collection for the English-language survey was completed between May 1 and June 30, 1983.

For the French-language survey, the process of questionnaire administration was similar. However, only two of the three boards requested to participate agreed to do so. Questionnaires were sent to these two boards in mid-October 1983, and completed questionnaires were returned by mid-December.

Analysis of Data

Data analysis occurred in three phases: data preparation, descriptive analysis, and correlational analysis. On receipt, questionnaires were vetted by project staff to ensure codable responses were given. Data were then keyed, either onto tape by a commercial key-punching firm or by project staff using OISE computer facilities. After a complete data set was available for a given group, data were run through editing programs to ensure the number of records for each subject was correct, and that all responses fell within acceptable ranges. When this was not the case, corrections were made or cases were omitted, depending on the magnitude of the error.

Descriptive analysis of the data sets, presented in Appendix A of Volume 2 of this Technical Report, were prepared. These tables display the distributions of responses to each questionnaire item broken down by school type (public elementary, public secondary, or separate). Separate sections are devoted to the results for each group surveyed for both the English- and French-language surveys. Thus, there are eight sections in all: for the English-language survey, teachers, principals, superintendents, directors, and trustees; for the French-language survey, teachers, principals, and trustees. For the French-language responses, it was not deemed advisable to display data by type of school since there were but two boards, one separate and one public. To have done so would have allowed identification of an individual board's response, in violation of the agreement to protect confidentiality.

Two technical issues arise in the presentation of survey results for a survey with a complex sampling design such as is the case in this study: What is the proper unit of analysis? And, how should the responses be weighted?

In this study, at least three possible units of analysis could be used, the individual, the school, or the board. The results are not necessarily the same, though they are often similar. Of the three, we chose two. The individual, as noted, was used as the unit of study in the tables reported in Appendix A, Volume 2. As well, to analyse the effect of specific board policies, the board was the appropriate unit of analysis since policies affect all individuals in one board, but not those in other boards.

The issue of weighting the sample results is relevant regardless of the unit of analysis. Two primary choices exist: (1) no weighting (or, equivalently, weighting each response 1) or (2) weighting inversely to the sampling ratio (i.e., 3/2 or 1.5 for public boards and 1/2 or 0.5 for separate boards, since public boards were undersampled by 1/3 and separate boards were oversampled by a factor of 2); as well, at the individual level, one may (3) weight by size (e.g., enrolment) or (4) by a combination of size and sampling ratio.

To provide an idea of the effects of each choice, we estimated the percentage of teachers with a degree, using first the board and then the individual as the unit of analysis. In the first case, one is estimating the average of the percentage of teachers in Ontario school boards with degrees; in the second, one is estimating the percentage of teachers in Ontario with degrees. The estimates are given in table 30.

Table 30: Effect of Weighting on Estimates of the Percentage of Teachers with Degrees, Using Board and Individual as Units of Analysis

Unit of Analysis	Weighting Scheme			
	Unweighted	Weighted by Enrolment	Weighted by Inverse of Sampling Ratio	Weighted by Enrolment and Inverse of Sampling Ratio
Board	69.8% (9.04)[a]	N/A	71.6% (7.72)	N/A
Individual	72.8[b] (7.63)	72.9% (7.24)	74.2 (6.45)	74.7% (6.15)

[a] Standard deviation in parenthesis.

[b] Equivalent to weighting board average by the number of respondents.

Note that at the board level the unweighted estimate is 1.8 percentage points below that of the weighted estimate using the inverse of the sampling ratio. The bias of the unweighted estimate results from the proportionately larger number of separate school boards in the sample; separate school teachers are less likely to have degrees than teachers in public boards of education, because of the very high percentages of degree holders among secondary school teachers in the boards of education. In the sample, 83.7 per cent of all secondary teachers held degrees, while only 65.8 per cent of the public elementary and 67.6 per cent of the separate school teachers did so (see table 1.88 in Appendix A, Volume 2).

The four estimates for teachers with degrees are all higher than the average percentages of teachers with degrees in school boards because larger, urban boards tend to have higher percentages of teachers with degrees than do many smaller boards; hence, at the individual level, the percentage with degrees is larger. Weighting by the actual enrolment of these boards (rather than, in effect, depending on the sample size to provide the weight) makes little difference, even though the sampling strategy tends to undersample teachers in large boards and to oversample those in small boards to ensure equally reliable estimates of school board parameters. However, using the inverse of the sampling ratio does raise the estimate 1.4 percentage points above the unweighted estimate; using both that and enrolment raises it a further 0.5 percentage points. According to statistical theory, this latter is the best unbiased estimate of the percentage of Ontario teachers with degrees.

For the analysis in this report, we decided to use unweighted estimates, even though these are biased towards the characteristics of separate school boards and small boards. This decision was made for several reasons. First, we believe it easier for most readers to understand an average or percentage of a sample of respondents than a weighted average. Second, it was computationally less expensive, an important consideration given the large sample size and number of items. Finally, and perhaps most important, we felt that the unweighted estimates provided a better picture of the typical teacher or board in that a ceiling was placed on the sample sizes from large boards, and, hence, respondents from a few large boards did not swamp the sample; and that public and separate boards were about equally represented in the sample, and, hence, public board characteristics did not dominate the results.

Unbiased estimates can, of course, be calculated from the data base should these be required. As well, for a reader interested in assessing the extent of bias caused by the oversampling of separate schools, a good idea can be had from the tables in Appendix A, Volume 2, wherein data are presented separately by school type.

In addition to the presentation of responses by school type, we made board level investigations of the characteristics of effective evaluation systems for teachers and principals. Again, we used unweighted means and percentages for reasons similar to those just outlined. This analysis used Pearson-product moment correlation coefficients. The methodology is explained in further detail in the relevant sections.

The two types of analysis carried out are but a fraction of those possible. The data base could be queried on many questions related to performance appraisal. Though the requirement that responses remain confidential precludes release of the data base, a brief outline of its structure may be of use to those who might request specific analysis from the authors of this report.

Data are in two forms: raw data and SPSS-X SAVE FILES. The raw data for the eight questionnaires are stored on tape to which only the authors have access. These are viewed as backup files in case of a loss of the SPSS-X files.

There are 10 SPSS-X SAVE FILES in all, stored in archive on the OISE VAX-750 statistical computer in account PERFORMSL. These files include complete documentation including variable names, variable labels, value labels, and field locations for all questionnaire items. For the major survey, item names are keyed to questionnaire numbers to facilitate analysis (e.g., TEACH5D is item 5D on the teacher questionnaire). The save files are named as follows, their content is self-explanatory: TEACHER.SSF; PRIN.SSF; SUPT.SSF; DRCT.SSF; TRS.SSF; TEFR.SSF; PRFR.SSF; TRSFR.SSF. For the screening questionnaire, the responses for all boards are in file PASNEW.SSF, and for the sample of 30 boards in the study, PASSAM.SSF.

Results

Performance Appraisal of Teachers

A sample of 5655 teachers in 30 Ontario school boards -- 16 public and 14 Roman Catholic separate -- was asked to reply to the English-language school (ELS) questionnaire on teacher evaluation. From two school boards, one public and one separate, an additional 201 teachers in schools where French is the language of instruction (FLS) were asked to complete the French-language version of this questionnaire.

A total of 4082 teachers completed the ELS questionnaire, for a return rate of 72.2 per cent, and 139 teachers completed FLS questionnaires, for a return rate of 69.2 per cent. All the French-language respondents were from Eastern Ontario. The distribution of ELS respondents by region and type of school is presented in table 31. The Total column at the right includes 14 respondents for whom type of shcool was not available, and excludes one for whom region was missing; explanations for other minor discrepancies in numbers are accounted for in Appendix A, Volume 2 and, for brevity's sake, are omitted here. The Total row at the bottom provides the percentage distribution by type of school.

Table 31: Distribution of ELS Teachers by Region and by Type of School

Region	Public Elementary (n=1352)		Public Secondary (n=1458)		Separate (n=1257)		Total (n=4081)	
	n	%	n	%	n	%	n	%
Northern	179	13.3	149	10.2	163	13.0	491	12.1
Western	189	14.0	200	13.7	209	16.6	598	14.6
Central	811	60.0	936	64.2	769	61.2	2529	62.0
Eastern	173	12.8	173	11.9	116	9.2	463	11.3
Total	1352	33.1	1458	35.7	1257	30.8	4081	100.0

In the subsections that follow, the experiences and opinions of these four-thousand plus teachers are reported. All analyses except those concerned with explaining the effectiveness of different aspects of teacher evaluation practices use the individual teacher as the unit of analysis; the other analyses use the school board as the unit of analysis. Except when otherwise indicated, data in tables refer to the findings in English - language schools.

Preparation

Preparations for teacher evaluation may be as simple as a principal's informally dropping in unannounced while class is in session to "see how things are going", or as complex as a series of school-wide sessions to discuss objectives and agree on the criteria for evaluation. We discuss four aspects of preparation: planning, purposes, criteria, and standards.

Planning

The survey questionnaire included about a dozen items concerned with planning for teacher appraisal. Included were questions about the method by which a teacher was notified of the impending formal evaluation, the existence and length of any pre-conference, whether or not objectives were set, and the nature of objectives if they were set. Principals were also asked whether or not they set objectives with the last teacher whom they evaluated.

Table 32 presents the respondents' experiences as far as notification is concerned. Notification in person is most common, overall, but is most prevalent in public elementary schools. Memoranda are most likely to be used in secondary schools and are more likely to be used in separate than public elementary schools. Informal visits or observations in the classroom are likely to begin the process in almost half the cases in public and separate elementary schools. Respondents could check more than one option, so the percentages sum to more than 100.

Table 32: Method of Beginning Teacher Evaluation by Type of School, as Reported by Teachers

Method	Public Elementary (n=1105)	Public Secondary (n=1221)	Separate (n=992)	Total (n=3257)
	Yes	Yes	Yes	Yes
Notification in person	62.5%	54.9%	51.4%	56.5%
Notification by a memorandum	16.3	47.7	25.1	30.5
Informal visits or observations in classroom	48.5	20.6	49.0	38.2

Thirty-six per cent of all teachers who had been evaluated in recent years indicated that a pre-evaluation conference took place with their evaluator. There was only slight variation among different types of school, with conferences being most common with secondary teachers (38 per cent) and least common with separate school teachers (32 per cent). These conferences lasted an average of 20 minutes, though they varied considerably, ranging from a minute or two to over an hour (s.d. = 16 minutes).

Francophone teachers' experiences were, for the most part, similar to those of their anglophone colleagues: 58 per cent were notified in person of their impending evaluation; 18 per cent were notified by memorandum; but 67 per cent, higher than for anglophone teachers, experienced informal classroom visits. Thirty-eight per cent had pre-evaluation conferences and these were half-again as long as were those for anglophones, averaging 31 minutes (s.d. = 18 minutes.)

As a result of pre-conferences, 71 per cent of the ELS teachers reported that they understood the criteria for evaluation; 75 per cent understood the purposes; and 52 per cent had agreed-upon objectives. Results varied little by type of school or language of teacher.

A series of questions were asked regarding the setting of objectives in the teacher's last appraisal, independent of the question concerning pre-conferences. Overall, 23 per cent reported that objectives had been set. Percentages varied from a high of 28 for separate school teachers to a low of 19 for secondary school teachers; 22 per cent of francophone teachers reported this practice.

Principals reported rather different behaviour in carrying out their last evaluation of a teacher: overall, 60 per cent of the anglophone and 42 per cent of the francophone principals reported having used objective-setting.

Table 33 reports who set the objectives to be achieved -- the teacher being evaluated, the evaluator, or both collaboratively -- as reported by teachers and principals. Teachers and principals concurred as to the ordering of these options in terms of frequency of use. Collaboration was most common, followed by the setting of objectives by teachers and then the evaluators. However, principals were far more likely to report having set objectives collaboratively than were teachers, and far less likely to report that the objectives had been set either by the teacher or by themselves alone.

Table 33: Person(s) Setting Teacher Evaluation Objectives by Type of School, as Reported by Teachers and Principals

Person(s) Setting Objectives	Role	Public Elementary	Public Secondary	Separate	Total
	T	(n=239)	(n=223)	(n=256)	(n=719)
	P	(n=250)	(n=64)	(n=160)	(n=476)
Teacher being evaluated	T	33.1%	28.6%	32.0%	34.4%
	P	10.0	17.2	8.1	10.3
Evaluator(s)	T	13.4	16.1	19.1	16.4
	P	8.4	1.6	8.8	7.5
Collaboratively by both	T	51.5	44.8	46.5	47.6
	P	79.6	79.7	82.5	80.7

The FLS situation was somewhat different. Only 40 per cent of the teachers reported that objectives were set collaboratively; as well, just 25 per cent indicated that they had set objectives themselves, and 35 per cent that their objectives had been set for them. FLS principals reported a different picture: 82 per cent indicated objectives had been set collaboratively and 18 per cent that the teacher had set his or her own objectives; none reported having set objectives for the teacher.

Finally, it is worth noting that, among the three types of school, it is in secondary schools that teachers were most likely to set their own objectives.

There was greater consensus between teachers and principals concerning the focus of the objectives. Seventy-eight per cent of the teachers and 81 per cent of the principals stated that the objectives focussed on overall teacher performance and not just on the lessons to be observed. Also, focus on overall performance was more frequently reported by separate school teachers (84 per cent) and principals (83 per cent) than their public school counterparts. The FLS percentages were yet more striking: over 90 per cent of both teachers and principals reported that objectives focussed on overall teacher performance.

Purposes

The evaluation of a teacher can serve many purposes, including the development of the teacher and the provision of information for administrative decisions. Teachers were asked whether or not the purposes of their last performance appraisal had been clearly communicated to them, what the purposes of that appraisal had been, and what they believed the ideal purposes of teacher evaluation were. Principals were asked the last question as well.

Overall, 71 per cent of all teachers, francophone and anglophone, indicated that the purposes of their last evaluation had been clearly communicated. About 23 per cent indicated they had not and the remaining 6 per cent could not recall.

The purposes of these evaluations, and the purposes that teachers and principals believe teacher evaluation ought to serve, are reported in table 34. For the latter two sets of opinions, only those percentages for the "always should be used" responses are reported.

Table 34: Actual and Ideal Purposes of Teacher Evaluation, as Reported by Teachers and Principals

Purposes	Teachers		Principals
	Real (n=3257) Percent Yes	Ideal (n=4082) Percent Always	Ideal (n=879) Percent Always
To identify instructional weakness in need of improvement	46.7%	66.1%	68.3%
To improve communication between teacher and principal	28.5	45.1	40.1
To comply with Ministry and Board Policy	76.3	40.4	37.7
To qualify teacher for regular salary increases	3.7	12.6	2.6
To identify teachers for possible promotion	7.8	30.2	15.0
To identify inservice training needs	11.2	36.3	34.0
To stimulate improvement in classroom performance	41.2	65.4	80.4
To recommend probationary teachers for permanent contracts	19.3	69.7	57.2
To identify teachers for layoff in case of redundancies due to enrolment decline	2.2	12.6	4.1
To establish evidence for dismissal or retention	6.4	29.1	21.6
To assess effectiveness of instructional program	55.7	51.2	73.6
To identify individuals for transfer	2.2	8.6	4.8
To reassure and develop teacher self-confidence	37.3	63.0	74.3
To assess and improve curriculum	29.9	51.3	73.2

Several observations concerning table 34 are warranted. First, teachers appear to believe that the primary purpose of their most recent evaluation was to formally comply with policy, not to improve education in any way. Second, the most legitimate purposes of evaluation in the eyes of teachers are to decide on permanent contracts for probationary employees and to improve instruction. Third, principals are more likely to believe that teacher evaluation ought to play a role in the evaluation of programs and curriculum. Finally, teachers and principals agree that teacher evaluation ought not be used for administrative purposes such as selecting teachers for transfer or layoff, though teachers are more likely to take a hard line supporting such uses of evaluation than are principals.

Responses to questions regarding purposes did not vary much among ELS public elementary, public secondary, and separate school teachers. However, FLS teachers were less likely to report that compliance with policies was the purpose of their last evaluation (about 46 per cent did so) and they were far more likely to believe that evaluation should be used for administrative purposes. For example, 28 per cent believed it should always be used to qualify teachers for regular salary increments, 32 per cent to identify teachers for promotion, 25 per cent to identify teachers for layoff, and 52 per cent to establish evidence for dismissal or retention. These attitudes were not as strongly reflected among FLS principals. Their figures for the preceding four items were 4 per cent, 12 per cent, 8 per cent, and 15 per cent respectively.

Criteria

Teachers were asked to indicate which among a set of 25 criteria were used in their last formal evaluation, the first six of which were general criterion domains with the remainder considered specific criteria. The teachers were also asked to state which of these criteria they believed always ought to be used in their evaluation. Their responses are reported in table 35.

Table 35: Actual and Ideal Criteria Used in Teacher Evaluation, as Reported by Teachers

Criterion for Evaluation	Actually Used (n=3257)	Ought Always to Be Used (n=4082)
Teacher's classroom performance	96.9%	85.7%
Involvement in school and community	57.3	24.8
Interpersonal relationships	63.8	37.5
Professional development	49.4	29.4
Personal qualities	72.8	46.4
Contribution to religious education	13.0	9.6
Punctuality	35.0	50.6
Care of school equipment	18.9	33.6
Appearance of classroom	66.2	42.4
Accuracy of records	36.4	51.2
Personal appearance	39.0	37.3
Involvement in system-wide activities	31.7	12.1
Teacher/administrator relations	32.4	17.5
Use of audio-visual equipment	20.4	8.0
Curriculum development activities	32.6	17.9
Teacher/parent relations	31.7	24.6
Teacher/staff relations	47.4	28.5
Subject matter competency	62.3	73.0
Teacher/pupil relations	80.0	76.9
Planning and preparation	77.1	75.9
Techniques of instruction	77.3	72.2
Class discipline	81.5	71.2
Innovative activites	50.0	41.0
Classroom management	84.4	75.4
Student academic achievement	33.8	18.7

Teachers' experiences and opinions concerning actual and ideal criteria that should be used in evaluating teachers indicate that criteria related to classroom processes (e.g., techniques of instruction, teacher/pupil relations, classroom management) are both most prevalent in practice and most legitimate. As one moves away from this area towards criteria related to either the results of these activities (e.g., student academic performance or appearance of the classroom) or broader involvement in educational activities (e.g., curriculum development activities, school and community activities, or teacher/administrator relations), one finds less frequent use of and less support for the criteria. On the whole, evaluation appears to be based for the most part on criteria teachers support, though it is clear that it tends not to be based exclusively on these criteria.

The pattern of responses of FLS teachers was very similar to that for ELS teachers, though all percentages for both actual and ideal criteria were somewhat higher, e.g., 81 per cent reported that involvement in the school and community is used as a criterion, and 37 per cent believe it should always be used as such. Classroom management was the major exception to this generalization -- only 50 per cent reported its use as a criterion, and 64 per cent felt it should always be used.

Standards

While criteria (or, more accurately, criterion domains) define what is to be evaluated, standards are concerned with the adequacy of performance on a given criteria. For a very specific and easily measurable criterion, such as punctuality, standards are relatively easy to set. For more general criteria, such as what constitutes adequate techniques of instruction, the sheer complexity of the process concerned may render impossible the full specification of standards. In such cases, standards are likely to be expressed in ways requiring considerable professional experience to interpret and apply, except in the most extreme cases.

Teachers were asked how, in their view, standards were set in their last evaluation. They could check one or more of the following responses: by board policy or guideline; by the evaluator; by the evaluatee; collaboratively between the evaluator and evaluatee; don't know. Responses were consistent across different types of school and board. Thirty-eight per cent indicated standards were set by board policy; 48 per cent by the evaluator; 6 per cent by the evaluatee; 10 per cent collaboratively; and 29 per cent did not know. FLS teachers responded somewhat differently: 63 per cent indicated that standards were set by policy and only 37 per cent by the evaluator.

Data Collection

Data collection is concerned with the sources of information on which evaluation is based, the types of information collected, who collected the information, and the time (and effort) spent collecting the information.

Sources of Information

The persons involved in providing information during the teachers' last formal evaluation and who teachers believe always ought to be involved in providing information are reported in table 36. Student involvement, though not high, is perhaps more prevalent than normally perceived. Interviews conducted with teachers and principals indicated that it is not unusual for principals to chat with children and review their work -- thus, students provide information for the evaluation. As is seen later, it is rare for students to provide standardized types of evaluative data on teacher performance.

Table 36: Actual and Ideal Persons Providing Teacher Evaluation Information, as Reported by Teachers

Group	Is Involved (n=3257)	Ought Always Be Involved (n=4082)
Teacher being evaluated	76.0%	87.6%
Students	15.7	5.7
Other teachers	2.3	3.4
Parents	1.1	2.1
School principal	38.1	75.9
Other (e.g, superintendent)	5.9	27.0

Clearly, teachers believe that they and their principals are and should be the primary sources of information for their evaluation, and that other teachers (such as department heads), students, or parents ought not be sources of data. There is support, though, for increasing the role of superintendents in this regard.

Similar results to these were obtained for FLS teachers.

Types of Information

Information is as much characterized by how it is collected -- observation, collection of documents, interview, questionnaire, and so on -- as it is by its specific form. Tables 37 and 38 report how information for the formal evaluation of teachers was collected and its specific nature, as well as how often teachers and, in the case of specific types of information, principals and superintendents believe these methods ought to be used.

Table 37: Actual and Ideal Methods of Collecting Teacher Evaluation Information, as Reported by Teachers

Method	Actually Used (n=3257)	Ought Always Be Used (n=4082)
Observation	96.1%	78.0%
Collection of documents (e.g., lesson plans, student work)	52.2	32.6
Interview	48.0	62.6
Questionnaire	4.5	8.3
Video taping	0.7	1.2

Table 38: Actual and Ideal Types of Teacher Evaluation Information, as Reported by Teachers, Principals, and Superintendents

	Teachers		Principals	Superintendents
	Actual (n=3257)	Ought Always (n=4082)	Ought Always (n=879)	Ought Always (n=114)
Observation checklists completed by observer	30.4%	32.5%	16.0%	19.4%
Notes taken by observer on specific aspects of classroom activity	77.7	58.3	60.3	70.5
General notes taken by observer	73.8	57.1	54.6	56.6
Video tape of teaching and classroom activity	0.9	1.0	0.4	0.0
Questionnaires completed by students	0.5	1.8	0.6	0.0
Self-evaluation questionnaire	5.7	25.7	27.0	25.7
Self-evaluation written according to a guide	4.3	15.3	18.0	24.2
Daily plan book	46.0	27.1	48.1	52.3
Standardized test scores for students in class	3.9	2.1	2.1	1.0
Samples of student work	40.4	20.6	31.9	32.4

Table 38 (continued)

	Teachers		Principals	Superintendents
	Actual	Ought Always	Ought Always	Ought Always
	(n=3257)	(n=4082)	(n=879)	(n=114)
Results of teacher-made tests	8.5	8.7	11.8	10.6
Written report from previous evaluation	7.0	8.9	14.3	31.8
Student attendance records	3.4	2.7	2.0	2.9
Record of interview(s) with evaluator(s)	16.8	19.7	15.9	37.4

Table 37 suggests teachers would prefer more use of interviews and less of the collection of documents. Not evident in this table is the difference between elementary and secondary school teachers. For the former, documents were collected in two-thirds of the cases, and for the latter in only one-third of the cases. Responses for FLS teachers were similar, except that 15 per cent reported use of questionnaires, with almost a quarter believing that questionnaires ought always be used.

Results for FLS teachers were similar with regard to the types of information used in evaluations at present; however, there was somewhat stronger support for the use of interviews (44.4 per cent) and of results from a previous evaluation (34.1 per cent).

Taken together, the results in table 38 suggest a fairly strong consensus across the three levels of the hierarchy as to the appropriate types of information to be used. The results, too, are consistent with the views expressed as to the ideal criteria for formal evaluation, though our sample of items for the respondents to choose from may have been biased in favour of classroom activities and against school and community activities. In particular, there is little support of use of "output" criteria such as standardized test scores, and strong support for the use of observational notes. Perhaps one small surprise is the consensus that self-evaluation ought to be conducted much of the time, yet that in practice it is rarely conducted as part of the formal evaluation.

Collectors of Information

Teachers were asked who was highly involved in carrying out their last formal evaluation. The figures were as follows, with unusual deviations among groups noted in parentheses: principal, 74 per cent; vice-principal, 25 per cent (18 per cent public elementary, 46 per cent public secondary, and 4 per cent separate); department head, 9 per cent (21 per cent secondary, less than 1 per cent elementary); co-ordinator, 2 per cent; superintendent, 16 per cent (13 per cent public elementary, 26 per cent separate elementary); director, 3 per cent; parents, 1 per cent; students, 6 per cent; and other, 6 per cent. The pattern for FLS teachers was similar, although 27 per cent reported involvement of their department head.

Time Spent

The time spent collecting information was assessed by questions concerning the number of observations during a formal evaluation, the frequency of post-observation conferences, and the percentage of their time that principals felt should be spent on teacher evaluation. Tables 39 and 40 report the data concerning the first two matters.

Table 39: Actual and Ideal Number of Observations During Teacher Evaluation, as Reported by Teachers, Principals, and Superintendents

Number of Observations During Year	Teachers		Principals		Superintendents
	Actual (n=3215)	Ideal (n=3946)	Actual (n=791)	Ideal (n=858)	Ideal (n=106)
None	6.1%	5.9%	0.4%	1.7%	0.9%
One	48.2	36.3	5.7	15.3	21.7
Two	23.0	26.3	17.8	21.1	23.6
Three/four	14.5	22.0	37.2	39.3	35.8
Over four	8.3	9.4	36.3	22.6	17.9

Not shown in these data are modest differences between elementary and secondary schools, e.g., 54 per cent of the secondary teachers reported a single observation while only 41 per cent of the public elementary and 49 per cent of the separate school teachers did so.

Secondary principals indicated, as well, that they thought fewer observations were necessary, e.g., 26 per cent supported a single observation whereas only 16 per cent of the public elementary and 9 per cent of the separate principals did so.

Table 39 suggests that both principals and superintendents have higher expectations for the number of observations than do teachers; at the same time, principals reported having conducted more observations during their last evaluations than teachers reported having received.

The 91 FLS teachers reported a very different pattern of observations, with more experiencing the extremes: 15 per cent reported no observation, 23 per cent one, 19 per cent two, 17 per cent three or four, and 26 per cent more than four. Yet, less than 1 per cent believed no observations was acceptable and only 17 per cent believed more than four were required. Still, they tended to favour more observations than did the English-language sample.

Of the 26 FLS principals, none reported having not conducted any observations as part of their last evaluation; 50 per cent reported more than four. Almost 60 per cent believed more than four observations were necessary.

Experience and opinions regarding the frequency of post-observation conferences are reported in table 40.

Table 40: Actual and Ideal Frequency of Post-Observation Conferences for Teacher Evaluation, as Reported by Teachers and Principals

Frequency	Teachers		Principals	
	Actual (n=3257)	Ideal (n=4037)	Actual (n=767)	Ideal (n=871)
After every Observation	47.7%	72.7%	42.0%	52.4%
After most Observations	9.3	14.4	29.9	31.6
After some Observations	14.2	12.2	27.6	15.8
Never	19.5	0.7	0.5	0.2

Although table 40 indicates relatively high agreement among teachers and principals as to principals who hold conferences after every observation, there is wide divergence in the percentages that report no post-observation conferences. As well, opinions diverge as to the necessity of post-observation conferences after every observation. Experiences and opinions of FLS teachers and principals were somewhat different. Relatively fewer (27 per cent) FLS teachers reported conferences after every observation, and this was confirmed by the principals' responses (21 per cent). However, while the opinions of FLS teachers as to what should be the case coincided with those of the ELS teachers, their principals' views did not; a majority of ELS principals felt that conferences after most observations were adequate.

The average length of the post-observation conference was reported by teachers (mean of 19 minutes, s.d. = 13) and principals (mean of 30 minutes, s.d. = 14). FLS teachers and principals both reported longer conferences: 37 minutes (s.d. = 21) and 43 minutes (s.d. = 22) respectively.

Principals were asked what percentage of their time they spent on matters related to teacher evaluation and what they ought to spend; superintendents were asked the latter question. Principals reported spending an average of 13 per cent of (s.d. = 14) and felt they should spend 20 per cent (s.d. = 14). Superintendents believed superintendents should spend about 20 per cent of their time (s.d. = 15) on this matter. FLS principals reported spending 19 per cent and stated that they would like to increase this to 25 per cent.

Reporting and Follow-Up

After information concerning a teacher's performance is collected and analysed, a report is typically prepared which is shared with the teacher. Sometimes, plans are made to implement recommendations that emerge from the report. This section concerns the nature of the report and follow-up to it, the destination of any report, who it is shared with and how, and follow-up activities that may -- or may not -- occur.

Nature of Report

Three features were taken to define the nature of the report: the presence or absence of a final conference at the end of the evaluation process, the form of the report that was generated, and the presence or absence of an appeal process if the teacher believed the report to be inaccurate or unfair.

Only 24 per cent of all ELS teachers reported having had a final conference. This relatively low figure should be interpreted in light of the relatively large number of teachers (48 per cent) who were observed only once and for whom a final conference separate from their post-observation conference was, by definition, impossible. When they were held, final conferences averaged 21 minutes in length (*s.d.* = 14) -- not much longer than a regular post-observation conference. Results were comparable for FLS teachers, though, again, their conferences averaged about 10 minutes longer.

The formal document summarizing a teacher's evaluation was a statement under several headings in 48 per cent of the cases; an unstructured statement, in 29 per cent; a form with ratings for various activities, in 16 per cent; and a form with a summary mark or score, in 6 per cent. There was no formal document in 8 per cent of the cases, and some other type of document in 4 per cent.

The format of the report varied somewhat among the types of school. Separate school teachers were slightly less likely to report use of all formats, and more likely to report no report at all (13 per cent). Secondary teachers were more likely than others to report the use of forms with ratings for various activities (21 per cent). FLS teachers were more likely than ELS teachers to indicate that they received a statement under several headings (57 per cent) or a form with a summary mark or score (37 per cent); they were less likely to report receipt of an unstructured statement (2 per cent).

Forty-three per cent of all ELS teachers reported that there was an appeal process available. Fourteen per cent reported no appeal route existed and 38 per cent did not know whether or not one existed. Secondary teachers were somewhat more likely than elementary teachers to be uncertain about the existence of an appeal process (42 per cent vs. 35 per cent for public and 34 per cent for separate school teachers). Overall, FLS teachers responded to the various options in the same proportions as their ELS counterparts.

Destination of Report

Most teachers who had been evaluated indicated that they kept a copy of the report (84 per cent); a large proportion (43 per cent) indicated a copy was sent to the board offices where it was maintained as a permanent record; and 23 per cent did not know what happened to the report. Other responses were: a copy was filed in the school but will be destroyed when the teacher leaves the school, 10 per cent; a copy is kept in the board offices and will be destroyed after a given number of years, 6 per cent; a copy is filed in the school on request and would otherwise have been destroyed, 2 per cent; the report was immediately destroyed and no copies were kept, 1 per cent; and other, 9 per cent. The pattern for FLS teachers was similar, although only 67 per cent reported having kept a copy.

Report Sharing

That reports were shared with teachers is evident from the high percentages (90 in the ELS survey and 95 in the FLS survey) who reported having signed their report. Very few (6 per cent) indicated they had not signed it and still fewer (4 per cent) did not recall.

A series of questions concerning post-observation conferences provides some insight into the type of interaction that probably accompanied the presentation and discussion of these reports, particularly in view of the large percentage of teachers for whom there was only one observation and to whom the report would normally be presented at the post-observation conference.

Both teachers and principals were asked about the freedom of participation in the conference. Seventy-eight per cent of the teachers indicated that both they and their evaluators participated freely; in 16 per cent of the cases, the evaluator was involved and the teacher was restrained; in 5 per cent both were restrained; and in 1 per cent the evaluator was restrained and the teacher was not. Principals' responses were very similar: 83 per cent, 12 per cent, 5 per cent, and 1 per cent, respectively. FLS teachers and principals also had similar responses.

Similarly, most of the teachers (79 per cent) reported that the conference was not threatening; 19 per cent found it somewhat threatening; and only 2 per cent found it very threatening.

All criticism offered during the conference was considered constructive by 57 per cent of the teachers; 25 per cent reported no criticism was given. Only 15 per cent felt the criticism was partly constructive and 4 per cent not at all constructive.

Honest and sincere praise was reported by 87 per cent of the respondents. To only 8 per cent did the praise seem insincere and just 4 per cent reported no praise was given.

At the end of the conference, 69 per cent of the teachers "felt good", 20 per cent felt neither positive nor negative, 8 per cent felt somewhat negative, and 3 per cent were uneasy and defensive. Principals had similar, albeit slightly more positive, feelings: 72 per cent felt good, 24 per cent neither positive nor negative, 3 per cent felt somewhat negative, and 1 per cent uneasy and disappointed.

The reports by principals and teachers concerning their reactions to their conferences, which were similar in FLS and ELS surveys, imply that communication did take place as reports were shared and that, in most cases, the conference served as an opportunity to enhance the attitudes and commitment of the teachers.

Follow-Up

After completion of a formal evaluation, there may or may not be a program to ensure that the conclusions of the evaluation are translated into recommendations and action. In most cases, there was no such program: only 14 per cent of all teachers (20 per cent in FLSs) reported that a plan was developed as a result of their last evaluation. Of those with plans, 43 per cent (58 per cent in FLSs) reported that the plans were monitored and 52 per cent (42 per cent in FLSs) that they had undertaken professional or academic activies to accomplish aims of the plan.

The relative lack of use of the results of evaluation for future undertakings was also reflected in the small percentages of evaluations that made use of earlier evaluation reports (table 38).

Follow-through also took the form of actions resulting from an appraisal. Nine per cent reported receiving letters of commendation, 0.1 per cent being nominated for a teaching award, 3 per cent being no longer under review, and 9 per cent receiving a permanent contract. Other beneficial results were reported by 8 per cent. Negative consequences also occurred: 0.2 per cent were placed under review and 0.2 per cent also failed to receive permanent contracts. Other negative effects were reported by 1.6 per cent.

Actions affecting FLS teachers occurred with similar frequency, for the most part. Differences included a smaller proportion being given permanent appointments (3 per cent), presumably because of the lack of growth in the number of positions in their boards, and a larger proportion (6.5 per cent) reporting other negative consequences.

Evolution of Policy

School board policies generally develop over a number of years, usually in response to a felt need that may have a political or organizational basis. The rapid adoption of policies on personnel evaluation described in the preceding chapter is evidence that a need for such policies has been detected within most Ontario school boards. A series of questions sought to determine the formal process by which these policies were developed and implemented, the processes various parties felt should be followed in these matters, and the degree of specificity in the policies developed.

Implementation

Implementation of a policy begins with its development; attitudes and knowledge formed during the process of developing a policy have a direct bearing on its use in practice.

Teachers were asked who took part in the development of teacher evaluation policy in their board and who they believed ought to take part. A similar question was asked as to who ought to approve such matters. The results are reported in table 41.

Table 41: Actual and Ideal Persons Involved in Developing and Approving Teacher Evaluation Policies, as Reported by Teachers

Group	Development		Approval
	Actual (n=3048)	Ideal (n=4082)	Ideal (n=3048)
Trustees	7.7%	13.3%	37.8%
Director	28.2	38.9	50.8
Superintendents	48.5	70.8	57.5
Principals	51.8	93.8	54.0
Teachers	28.6	78.7	80.4
Parents	0.8	13.6	NA
Secondary students	0.2	8.2	NA
Outside consultants	2.8	11.3	NA
Others	4.8	6.4	10.1

The general picture presented is one in which teacher policies are developed by "middle management" -- superintendents and principals -- with some involvement by teachers. Teachers generally support this approach, but would like to see more involvement of teachers. At the time of the survey, teachers did not perceive trustees as having much involvement in the process and believed this situation to be appropriate.

As far as the approval of guidelines was concerned, teachers clearly felt the teachers' federations should give formal approval; belief that it was also important for the trustees to do so was not strong.

The perceptions and attitudes expressed were as true for teachers in separate as in public boards, as true at the elementary as at the secondary level, and as true in French- as in English-language schools.

Once teacher evaluation procedures have been developed and approved, there may be a need for periodic reviews; the modal teacher believed such a review should occur about every fifth year. Only 22 per cent, however, indicated that their board carried out such a review on a regular basis; 11 per cent stated theirs did not and the majority, 67 per cent, were not sure. FLS responses did not vary significantly from those in other schools.

Degree of Specification

The most basic level of specification is reflected in the existence or non-existence of a teacher evaluation policy. Seventy-five per cent of the teachers indicated that their board had procedures for formal teacher evaluation, 7 per cent stated theirs did not, and 16 per cent were not sure. Responses from FLS teachers in FLSs were virtually identical.

The availability of supporting documents (e.g., a manual with directions on how to proceed, samples of appraisal forms) implies greater specificity of policy. Sixty-five per cent of the teachers in boards with policies reported that such documents existed, 9 per cent that they did not, and 26 per cent were not sure. Eighty-seven per cent of the principals indicated supporting documents existed, 12 per cent that they did not, and only 1 per cent were not sure. Still more superintendents, 96 per cent, indicated such documents were available in their boards. Just 3 per cent indicated they did not and 1 per cent were not sure.

Responses from FLS teachers were similar to those from other teachers. All the FLS principals, however, stated that such documents existed.

Teachers were asked to check which of a list of possible problems with evaluation procedures applied in their school board. A number of the items bear on the issue of the specificity of the procedures. Overall, 16 per cent indicated that the "procedures lack detail", 17 per cent that they "do not help clarify roles", 16 per cent that "supporting documents are inadequate", and 20 per cent that the "procedures do not ensure fairness". However, 25 per cent felt the procedures "require excessive conformity to a single model of what it means to be a 'good' teacher", suggesting that in some regards policies may be too specific -- or specific about criteria or standards about which substantial numbers of teachers disagree.

As reported in the review of evaluation policies, various distinctions can be made in the form of policies, e.g., for permanent vs. probationary teachers, for summative vs. formative purposes, or for administrative vs. developmental purposes. Teachers, principals, and superintendents were asked whether or not they believed separate evaluation systems for administrative purposes and for developmental purposes are possible. Also, they were asked their preferences assuming such separate systems were feasible. Results are reported in table 42.

Table 42: Teacher, Principal, and Superintendent Opinions on the Feasibility and Desirability of Separate Teacher Evaluation Systems for Administrative and Developmental Purposes

Separate Systems Feasible	Teachers (n=3974)	Principals (n=869)	Superintendents (n=109)
Possible	44.6%	44.8%	57.8%
Not possible	24.7	33.8	27.5
Not sure	30.7	21.4	14.7
Preferred System	(n=3850)	(n=837)	(n=108)
Strongly prefer separate systems	18.6%	20.4%	28.7%
Prefer separate systems	20.1	14.5	19.4
No preference	27.6	13.4	9.3
Prefer a single, multi-purpose system	25.0	33.7	26.9
Strongly prefer a single, multi-purpose system	8.6	18.0	15.7

Apparently, as one moves up the hierarchy, understanding concerns and opinions about this issue becomes more clearly defined. In the case of the feasibility of separate systems, the "not sure" response dropped from 31 per cent for teachers to 15 per cent for superintendents. And, while opinion is split on the matter, a clear plurality believes separate systems are feasible.

But are separate systems desirable? Twenty-eight per cent of the teachers have no preference, while only 9 per cent of the superintendents straddle the fence. Overall, one would have to say the profession is split on the issue at all levels, though slight pluralities of teachers and superintendents prefer separate systems and a slight majority of principals favour a single system.

Impact of Policy and Practice

One issue of considerable concern regarding any law, policy, or set of guidelines is the extent of compliance with it by those to whom it is meant to apply. Without compliance, a policy can have at most symbolic meaning and, in terms of ensuring effectiveness by guiding individuals' actions, it will be a failure. A number of strategies exist for ensuring compliance; underlying all of them is the need for the exertion of effort by those within the organization (or society) responsible for implementing regulations. The success of their efforts, then, can be judged by the nature and degree of impact the procedures have on those whose compliance is sought.

Thus, in this section, a chain with three links is considered: degree of compliance in terms of individuals' formal behaviour; the extent of effort expended to ensure compliance; and the impact evaluation policies have in terms of achieving the results intended by them.

Degree of Compliance

Teachers were asked to indicate whether or not teacher evaluation as practised in their board was very different from policy, approximately as in policy, as described in policy, or they were not sure. Their responses indicated that, for the most part, evaluation was practised as in policy (25 per cent) or approximately as in policy (41 per cent). Only 3 per cent felt practice was very different from policy, though 32 per cent were not sure. FLS teachers had similar experiences, with 32 per cent indicating practice followed policy, 37 per cent approximately followed, and 2 per cent did not follow. Twenty-nine per cent were not sure.

The screening questionnaire also provided data regarding the degree of compliance with teacher evaluation policies.

Extent of Effort

The effort committed to make the evaluation system work was assessed by a number of questions, some of which were primarily concerned with the effort the board made to implement the policy, and others which were concerned with the effort expended by the evaluators -- and evaluatees -- in carrying out a given formal evaluation.

Whether or not the board organized workshops or professional development days to familiarize staff with the policy was a key indicator of effort. Twenty-nine per cent of the teachers reported such workshops. Of those reporting workshops, 70 per cent had participated. In the workshops, attention was given to a description of the evaluation procedures (90 per cent), an explanation of the philosophy underlying the procedures (72 per cent), and a description of the purposes of the evaluation (79 per cent). Group discussion occurred in 50 per cent of the cases and role playing in 22 per cent. Three per cent of the teachers rated the workshops very good, 28 per cent good, 57 per cent average, 8 per cent poor, and 3 per cent very poor.

FLS teachers were more likely to be in boards with workshops (39 per cent) and to have participated (82 per cent). In these workshops, role playing was less likely (13 per cent) and group discussion more likely (69 per cent). Their ratings of the workshops were about the same as those of ELS teachers, though 9 per cent reported them as being very good.

Workshops also were held for principals, of whom 49 per cent reported very thorough workshops and 29 per cent not thorough. However, 20 per cent reported no workshops at all. Principals were also asked what priority they attached to implementing the teacher evaluation policy in their board. Fifty per cent placed high priority on it, 46 per cent moderate priority, and only 4 per cent low or very low priority.

Superintendents were asked questions identical to those asked principals. Their responses concerning workshops were virtually the same, but the priority they placed on implementing teacher evaluation policy differed. Seventy-five per cent placed high priority on it, 22 per cent moderate priority, and only 3 per cent low or very low priority.

Responses of FLS principals were similar to those of other principals. Their priorities, however, were similar to those of superintendents, i.e., they tended to place high priority on implementing policy.

Effort is also reflected in the care with which individuals read the supporting documents to the teacher policy. Thirty-four per cent of the teachers reported having read them with care, 51 per cent having read them casually, and 15 per cent not at all. Principals apparently expended greater effort in this regard: 84 per cent had read them carefully, 6 per cent casually, and 11 per cent not at all.

If one were to summarize school boards' efforts to implement programs of teacher evaluation, one would conclude they have made moderate efforts to create and disseminate documents, and modest efforts at running effective workshops for administrative staff. Apparently, relatively little effort has been expended in ensuring that teachers are as well prepared to be evaluated as the evaluators are to conduct the evaluation.

Board-wide efforts may or may not reflect the commitment and thoroughness with which individual evaluations are carried out. A number of items completed by teachers and principals reveal the engagement of these parties in the evaluation process.

The post-observation conference is one key step in the evaluation process; the length of these conferences and teachers' reactions to the sessions have already been reported. As well, teachers were asked how well planned these conferences were: 39 per cent responded very well planned, 51 per cent fairly well planned, and 11 per cent poorly planned.

Similar questions were asked regarding the entire evaluation conference, i.e., how skilfully it was conducted and how seriously the process was taken by both of the parties involved. Twenty per cent reported their evaluators very skilful and 62 per cent skilful, 15 per cent not very skilful, and 3 per cent not skilful at all. Fifty-five per cent took the process very seriously, 37 per cent somewhat seriously, and 8 per cent not at all seriously; in their perceptions, 60 per cent of the evaluators took the process very seriously, 36 per cent somewhat seriously, and 5 per cent not at all seriously. Overall, elementary teachers, public and separate, were more likely to check "very seriously" for both parties, as were FLS teachers. For example, 67 per cent of the latter group indicated this response.

It would appear, then, that the individuals involved -- the teacher and the principal -- invest more effort in the process than might be expected given the level of effort expended to implement these policies on a board-wide basis. At the same time, there is evidence that this effort may not be as great as it could be.

Nature and Degree of Impact

Of greatest interest is the impact that performance appraisal has on the individual teacher. This impact can be divided into two stages: (1) changes in a teacher's knowledge, skills, and attitudes and (2) changes in a teacher's performance as a teacher. Effects at the first stage can be considered intervening effects that are prerequisite for changes in the second.

While the general impact of evaluation systems is important, it is perhaps more important to know what characteristics of a given system help to make it effective. Therefore, in addition to the description of the impact of teacher evaluation in Ontario as a whole, an analysis of the relationships among various characteristics of evaluation systems and the impact of these systems is presented in this section.

Description of Effects

Seven items, some of which have already been described in other sections, assessed the intervening effects of the evaluation process; these included both questions concerning the quality of the evaluation process (i.e., the teacher's satisfaction with the report form received, the teacher's perception of the fairness of the evaluator and the procedures, and the teacher's perception of the skilfulness of the evaluator) and questions about the teacher's attitudes towards the process of evaluation (i.e., the seriousness with which the process was taken by the teacher and the evaluator).

Five items assessed the second stage impact of teacher evaluation, including three answered by teachers, one by superintendents, and one (on the screening questionnaire) by directors or their designates. Teachers were asked the extent to which the evaluation program was achieving the goals set for it by the school system, the extent to which it was achieving the personal goals set by teachers, and the extent to which their own performance improved as a result of their last evaluation.

Most teachers were satisfied with the type of document used to summarize the results of their last evaluation. Specifically, 19 per cent were very satisfied and 66 per cent satisfied, while 10 per cent were dissatisfied and 5 per cent very dissatisfied.

Fairness was assessed on a 3-point scale and reveals a distribution rather similar to that for satisfaction with the report form. Eighty-seven per cent felt the judgement of the evaluator was fair and 82 per cent that the procedures were fair. As well, 8 per cent felt the judgement somewhat unfair and 5 per cent very unfair. Fifteen per cent believed the procedures were somewhat unfair and 4 per cent very unfair.

Data on the other intervening variables were presented above in considering the effort individual teachers and principals had committed to the appraisal process.

The end results of the evaluation process, as far as this study is concerned, are measured by seven variables. In the screening questionnaire, directors were asked to rate the effectiveness of their evaluation system in achieving its goals. Of the 23 who responded, 30 per cent rated their evaluation of teachers as very effective, 39 per cent as somewhat effective, and 9 per cent as ineffective. The remaining 22 per cent indicated the question was not applicable.

To a similar question, 24 per cent of the teachers responding indicated the evaluation system was achieving its goals either completely or to a large extent, 42 per cent to some extent, and 5 per cent not at all. As far as achieving teachers' personal goals, their assessment was somewhat less positive: 14 per cent responded completely or to a large extent, 49 per cent to some extent, and 14 per cent not at all. In both cases, about 30 per cent of the teachers were not sure.

Trustees were asked a similar pair of questions concerning the teacher evaluation process in their boards. With respect to administrative goals, the trustees' average response on a 5-point scale (very low, low, moderate, high, and very high) was 3.0, implying a moderate level of success. They believed it was somewhat more successful in achieving its developmental goals, their responses averaging 3.2.

Table 43 presents the responses of both teachers and superintendents as to the amount of improvement in teacher performance brought about by teacher evaluation.

Table 43: Degree of Improvement in Teacher Performance After Evaluation, as Reported by Teachers and Superintendents

Degree of Improvement	Teachers (n=3158)	Superintendents (n=100)
Not at all	40.5%	0.0%
A small amount	43.6	14.0
A modest amount	13.3	43.0
A substantial amount	2.6	43.0

Elementary teachers reported that they were assisted somewhat more than did secondary teachers: 37 per cent of the former reported evaluation was of no help as opposed to 47 per cent of the latter. FLS teachers made a still more positive assessment: 9 per cent indicated that they improved a substantial amount, overcoming some major problems, 22 per cent reported modest improvement, 48 per cent a small improvement, and only 22 per cent indicated no improvement at all. Nevertheless, it is clear there is a wide disparity between the views of the teachers and the superintendents as to what the effects of teacher evaluation systems actually are on the evaluatees.

Evaluation System Characteristics and Effectiveness. What, if anything, makes one evaluation system more effective than another? To answer this question, items under each of the major and minor categories of the framework used to analyse evaluation systems were correlated with a number of the intervening and resultant variables described above. Where consistent patterns of positive relationships occur, one can infer that the characteristics in question make for a more effective evaluation system.

The appropriate level for this type of analysis is that of the organization, i.e., the school board. Therefore, the first step in the analysis was to aggregate individual level data for teachers and superintendents into board level scores. Specifically, for yes-no type questions the percentage of teachers or superintendents in the sample responding "yes" to a given item was calculated for each of the 30 school boards. For 3- and 4-point scales, the mean was calculated if there were relatively few missing or "not sure" responses (i.e., 1 or 2 per cent). If the number of missing or not sure responses was large (i.e., 15 or 20 per cent), then the percentage in one or two top categories (i.e., those responding "to a large extent" or "completely") was calculated. It was not necessary to aggregate data for directors since there is but one director per school board. Finally, given the small number of boards in which data were collected for FLS teachers, it was necessary to limit the analysis to the results of the English-language questionnaire.

Methodologically, the AGGREGATE command of the SPSS-X statistical package was used to calculate the aggregate statistics, which were merged with board level data collected at the time of the screening questionnaire. Then, Pearson product-moment correlation coefficients were calculated (using the PEARSON CORR command) and the tables prepared. Results were considered to be statistically significant if their probability of occurrence under the null hypothesis (i.e., their p value) was less than 0.05. Given that the N was 30 for most correlations, any higher standard was viewed as too restrictive. To protect against overinterpreting occasional correlations that might be significant due to chance alone, an emphasis was placed on patterns, i.e., the existence of more than one significant correlation for a given characteristic. As well, correlations that would be significant at the 0.01 level were noted. Alternative modes of analysis were considered (e.g., multiple regression, discriminant analysis, and path analysis), but were rejected because they provide results that are difficult for most people to interpret.

The results of this analysis were organized according to the overall framework for analysis. Characteristics selected were those which either represented key stages in the evaluation process or seemed of particular interest.

1. Preparation: Tables 44 through 47 display the correlations that various aspects of preparing for evaluation have with the intervening and final effects of evaluation. The first table relates the method of notification, pre-evaluation conferencing, and the use of objectives-based evaluation to six intervening variables: teacher's satisfaction with the report form, fairness of the evaluator, fairness of the procedures, skilfulness of the evaluator, how seriously the teacher took the evaluation process, and how seriously the evaluator took it. Asterisks indicate significant Pearson product-moment correlation coefficients.

Table 45 relates the same list of characteristics for planning for evaluation to the effectiveness criteria: director's rating of the effectiveness of the evaluation system, superintendent's perceptions of the extent of improvement brought about in the typical teacher's performance as a result of evaluation, teacher's perceptions of the effectiveness of the evaluation system in achieving the school board's goals, teacher's perceptions of the effectiveness of the evaluation system in achieving teacher's personal goals, and extent of improvement teachers experienced as a result of their last evaluation.

Table 44: Relationship of Planning for Evaluation to Intervening Effects of Teacher Evaluation
(n = 30)

Planning for Evaluation		Intervening Effects[a]					
	Item	45	55	56	57	58	59
	Mean s.d.	2.95 .20	2.82 .06	2.77 .09	2.99 .12	2.49 .11	2.59 .11
Method of Notification							
In person	53.4% 15.3	.33*	.40*	.25	.52**	.17	-.08
By memo	28.4% 14.2	.26	-.13	.13	.08	-.06	.09
Visits	41.7% 14.6	-.40*	-.07	-.28	-.34*	.07	-.02
Pre-evaluation Conference							
Conf. held	32.5% 19.9	.25	.14	.36*	.27	.08	.17
Length	17.2 6.1 min.	.30*	.26	.27	.22	-.04	-.19
Objectives-based Evaluation							
Utilized	23.7% 7.1	.21	-.08	.06	.32*	.10	.06

[a] Item 45: Teacher satisfied with report form, 4 point scale.
Item 55: Fairness of evaluator, 3 point scale.
Item 56: Fairness of procedures, 3 point scale.
Item 57: Skilfulness of evaluator, 4 point scale.
Item 58: How seriously teacher took evaluation, 3 point scale.
Item 59: How seriously evaluator took evaluation, 3 point scale.

* Significant at the .05 level
** Significant at the .01 level

Table 45: Relationship of Planning for Evaluation to Effectiveness of Teacher Evaluation (n = 30)

Planning for Evaluation	Item	Measures of Effectiveness[a]					No. of Sig. r
	Item	EFFTCH	SUP60	13	14	60	
	Mean s.d.	2.28 .67	3.25 .51	24.0% 10.2	15.3% 7.5	1.84 .19	/Sign[b]
Method of Notification							
In person	53.4% 15.3	.13	.12	.04	-.03	-.09	3 +
By memo	28.4% 14.2	.12	.03	.27	.30*	.04	1 +
Visits	41.7% 14.6	-.15	.06	-.29	-.21	.05	2 -
Pre-evaluation Conference							
Conf. held	32.5% 19.9	.45*	.18	.07	.13	.14	2 +
Length	17.2 6.1 min.	.26	.11	-.10	.00	.06	1 +
Objectives-based Evaluation							
Utilized	23.7% 7.1	.46*	.10	.24	.37*	.41*	4 +

[a] EFFTCH: Effectiveness of teacher evaluation - screening questionnaire, 3 point scale; n = 18.
SUP60: Extent of improved teaching performance - superintendent questionnaire, 4 point scale; n = 23.
Item 13: Achievement of evaluation goals for system, percentage of teachers indicating "completely" or "to a large extent".
Item 14: Achievement of evaluation goals for teachers; percentage of teachers indicating "completely" or "to a large extent".
Item 60: Extent of improvement in teacher's performance as a result of the last evaluation; 4 point scale.

[b] Number of significant correlations with each planning variable for both intervening (table 44) and final effect (table 45) variables. Signs indicate the direction of the correlations.

* Significant at the .05 level ** Significant at the .01 level

In the righthand column of table 45 is a summary of the number of significant correlations positive (+) or negative (-) for each characteristic in both tables 44 and 45. For example, in the case of method of notification, notification in person exhibits three positive (3 +) correlations, by memorandum one positive correlation (1 +), and by informal classroom visits two negative correlations (2 -). In addition, the tables contain the means, standard deviations, and sample sizes for each of the variables. A format identical to that used for tables 44 and 45 is used in the remaining tables of this analysis, with the tables being presented in pairs.

In the case of tables 44 and 45, as well as the other tables, a brief commentary is made emphasizing key points revealed in this analysis. The reader may wish to study the tables in detail to discern more subtle relationships.

Clearly, tables 44 and 45 indicate that the mode of planning for evaluation is related to the effectiveness of the evaluation system. Method of notification seems primarily related to intervening effects such as the degree to which the evaluated teacher is satisfied with the form used in the evaluation and his or her assessment of the fairness and skilfulness of the evaluator. In particular, a personal meeting with the evaluatee before the process begins is positively correlated to these variables, whereas informal drop-in visits are negatively correlated with two of them.

The positive correlations for pre-conferencing confirm the importance of this practice in the eyes, particularly, of directors.

The use of objectives-based evaluation, of all the planning tools, has the strongest associations with the measures of effectiveness of the evaluation systems. Teachers are more likely to feel that their aspirations are being met by use of this approach and are more likely to report gains in performance as a result of the evaluation process.

Purposes and criteria are dealt with in tables 46 and 47. Only two characteristics stand out as having a possible effect on the outcomes of teacher evaluation. The percentages of teachers reporting that the purposes of their evaluation were clearly given is correlated, in some cases strongly, with the dependent variables. Teachers' satisfaction with the report form, their assessment of the fairness of the procedures and the skill of the evaluator, their

seriousness in the entire endeavour, their achievement of personal goals and improvement are all positively correlated with this characteristic, as are the directors' and superintendents' assessments of the effectiveness of the system.

Table 46: Relationship of Purposes and Criteria for Evaluation to Intervening Effects of Teacher Evaluation
(n = 30)

Purposes and Criteria for Evaluation		Intervening Effects[a]					
	Item	45	55	56	57	58	59
	Mean s.d.	2.95 .20	2.82 .06	2.77 .09	2.99 .12	2.49 .11	2.59 .11
Purposes Clearly Given							
Yes	70.0% 11.0	.60**	.26	.57**	.74**	.46**	.25
Criteria Used in Evaluation							
Classroom performance	95.5% 7.1	.82**	.48**	.63**	.70*	.17	-.12
School community	53.0% 19.2	.15	.11	.08	.13	-.12	-.16
Interpers. relations	61.7% 14.8	.20	-.03	.10	.16	-.06	-.19
Prof. develop.	45.8% 17.0	.22	.09	.15	.26	-.11	-.27
Personal qual.	70.7% 8.5	.13	.20	.09	.16	-.03	-.19

[a] Item 45: Teacher satisfied with report form, 4 point scale.
Item 55: Fairness of evaluator, 3 point scale.
Item 56: Fairness of procedures, 3 point scale.
Item 57: Skilfulness of evaluator, 4 point scale.
Item 58: How seriously teacher took evaluation, 3 point scale.
Item 59: How seriously evaluator took evaluation, 3 point scale.

* Significant at the .05 level
** Significant at the .01 level

Table 47: Relationship of Purposes and Criteria for Evaluation to Effectiveness of Teacher Evaluation
(n = 30)

Purposes and Criteria for Evaluation	Item	Measures of Effectiveness[a]					No. of Sig. r /Sign[b]
		EFFTCH	SUP60	13	14	60	
	Mean	2.28	3.25	24.0%	15.3%	1.84	
	s.d.	.67	.51	10.2	7.5	.19	
Purposes Clearly Given							
Yes	70.0% 11.0	.61**	.35*	.16	.34*	.38*	8+
Criteria Used in Evaluation							
Classroom performance	95.5% 7.1	.33	.13	.01	.00	-.14	4+
School community	53.0% 19.2	.01	.07	.09	.04	.03	0
Interpers. relations	61.7% 14.8	-.13	.15	.06	.02	.17	0
Prof. develop.	45.8% 17.0	.03	.03	.00	.12	.12	0
Personal qual.	70.7% 8.5	-.08	-.18	-.02	-.12	-.16	0

[a] EFFTCH: Effectiveness of teacher evaluation - screening questionnaire, 3 point scale; n = 18.
SUP60: Extent of improved teaching performance - superintendent questionnaire, 4 point scale; n = 23.
Item 13: Achievement of evaluation goals for system, percentage of teachers indicating "completely" or "to a large extent".
Item 14: Achievement of evaluation goals for teachers; percentage of teachers indicating "completely" or "to a large extent".
Item 60: Extent of improvement in teacher's performance as a result of the last evaluation; 4 point scale.

[b] Number of significant correlations with each planning variable for both intervening (table 44) and final effect (table 45) variables. Signs indicate the direction of the correlations.

* Significant at the .05 level ** Significant at the .01 level

Also, one criterion domain was positively related to several intervening variables. Use of classroom performance was positively related to satisfaction with the report form, fairness of the evaluator and procedures, and skilfulness of the evaluator. With an average of about 96 per cent of the teachers in a board reporting that classroom performance was a criterion domain used in their evaluation, this correlation is surprising and would appear to suggest omission of this domain undermines the legitimacy of the process as perceived by teachers.

Inclusion of criterion domains prevalent in comprehensive evaluations, however, had neither positive nor negative correlations with either intervening variables or measures of effectiveness.

2. Data Collection: The relationships of the sources and types of information used in evaluation to the effectiveness of the process are reported in tables 48 and 49, while the relationships for those who collected the information and time spent doing so are in tables 50 and 51. The involvement of students in providing information (a relatively rare occurrence) is positively correlated with directors', superintendents', and teachers' assessments of how well the evaluation system achieves its goals; however, it is not correlated with the effects on teachers as reported by teachers.

Table 48: Relationship of Sources and Types of Information Used to Intervening Effects of Teacher Evaluation
(n = 30)

Sources and Types of Information	Item	Intervening Effects[a]					
		45	55	56	57	58	59
	Mean s.d.	2.95 .20	2.82 .06	2.77 .09	2.99 .12	2.49 .11	2.59 .11
Students Provided Information							
Yes	16.6% 9.2	.29	.06	-.16	.25	.00	-.02
Methods of Collecting Information							
Observation	96.0% 4.4	.72**	.24	.31*	.63**	.21	.03
Documents	53.4% 17.7	.02	-.07	-.09	.27	.29	.23
Interview	45.6% (14.7)	.46*	.26	.48**	.65**	.47**	.36*
Questionnaires	4.4% (4.7)	.03	.13	.21	.08	-.19	-.12
Specific Types of Information Used							
Checklist	29.9% 16.7	-.04	.06	.22	.13	-.20	-.04
Specific Notes	77.2% 11.7	.51**	.05	.05	.39*	-.02	.03
General Notes	73.8% 8.2	.33*	.20	.10	.50**	.17	.14
Video	0.9% 3.2	.02	-.04	.06	-.09	-.35*	-.30

Table 48 (continued)

Student quest.	0.4% 0.9	.08	.07	.06	.24	-.02	-.08
Self-eval. ques.	5.9% 9.3	-.11	.32*	.23	.21	.04	-.08
Written self-eval.	3.5% 5.9	-.04	.35*	.26	.22	.02	-.16
Daily plans	50.7% 19.2	-.20	-.28	-.22	.06	.19	.31*
Standard test scores	3.5% 3.2	.17	-.02	-.02	.26	.03	.07
Student work	43.6% 13.0	.01	-.12	-.16	.16	.13	.21
Teacher-made tests	8.7% 8.7	.14	-.09	-.06	.20	.03	.10
Prev. eval. report	6.9% 5.9	.18	-.12	-.18	.13	-.08	.08
Student attend.	3.5% 4.5	-.59**	-.33*	-.31*	-.41*	.07	.35*
Interview record	16.1% 7.9	.03	.09	.33*	.13	-.04	.21

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[a] Item 45: Teacher satisfied with report form, 4 point scale.
Item 55: Fairness of evaluator, 3 point scale.
Item 56: Fairness of procedures, 3 point scale.
Item 57: Skilfulness of evaluator, 4 point scale.
Item 58: How seriously teacher took evaluation, 3 point scale.
Item 59: How seriously evaluator took evaluation, 3 point scale.

* Significant at the .05 level

** Significant at the .01 level

Table 49: Relationship of Sources and Types of Information Used to Effectiveness of Teacher Evaluation
(n = 30)

Sources and Types of Information	Item	Measures of Effectiveness[a]					No. of Sig. r /Sign[b]
		EFFTCH	SUP60	13	14	60	
	Mean s.d.	2.28 .67	3.25 .51	24.0% 10.2	15.3% 7.5	1.84 .19	
Students Provided Information							
Yes	16.6% 9.2	.39*	.49**	.31*	.27	-.03	3+
Methods of Collecting Information							
Observation	96.0% 4.4	.03	.41*	.35*	.31	.12	5+

Table 49 (continued)

Documents	53.4% 17.7	-.21	-.06	.10	.16	.32*	1+
Interview	45.6% (14.7)	.29	.14	.20	.24	.34*	6+
Questionnaires	4.4% (4.7)	.45*	-.09	-.05	.13	-.19	1+
Specific Types of Information Used							
Checklist	29.9% 16.7	.20	-.19	-.05	.15	-.09	0
Specific Notes	77.2% 11.7	.23	.36*	.39*	.31*	.03	5+
General Notes	73.8% 8.2	.37	.27	.20	.19	.12	2+
Video	0.9% 3.2	.29	-.06	-.34	-.09	-.27	1-
Student quest.	0.4% 0.9	-.15	-.18	.01	.13	.18	0
Self-eval. ques.	5.9% 9.3	.18	.04	-.18	.06	.06	1+
Written self-eval.	3.5% 5.9	.02	.13	-.18	-.07	.11	1+
Daily plans	50.7% 19.2	-.13	-.16	.12	.23	.39*	2+
Standard test scores	3.5% 3.2	-.09	-.11	.35*	.14	.03	1+
Student work	43.6% 13.0	-.27	-.16	.05	.03	.22	0
Teacher-made tests	8.7% 8.7	-.31	-.26	.26	.07	.15	0
Prev. eval. report	6.9% 5.9	-.31	.11	.36*	.26	.05	1+
Student attend.	3.5% 4.5	-.25	-.38*	-.06	-.19	.14	5- 1+
Interview record	16.1% 7.9	.25	-.17	.02	-.02	.22	1+

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[a] EFFTCH: Effectiveness of teacher evaluation - screening questionnaire, 3 point scale; n = 18.

SUP60: Extent of improved teaching performance - superintendent questionnaire, 4 point scale; n = 23.

Item 13: Achievement of evaluation goals for system, percentage of teachers indicating "completely" or "to a large extent".

Item 14: Achievement of evaluation goals for teachers; percentage of teachers indicating "completely" or "to a large extent".

Item 60: Extent of improvement in teacher's performance as a result of the last evaluation; 4 point scale.

[b] Number of significant correlations with each planning variable for both intervening (table 44) and final effect (table 45) variables. Signs indicate the direction of the correlations.

* Significant at the .05 level ** Significant at the .01 level

Table 50: Relationship of Who Collected Information and Time Spent on Evaluation to Intervening Effects of Teacher Evaluation

(n = 30)

Who Collected Information and Time Spent	Item	Intervening Effects[a] 45	55	56	57	58	59
	Mean	2.95	2.82	2.77	2.99	2.49	2.59
-	s.d.	.20	.06	.09	.12	.11	.11
Individuals Highly Involved in Process							
Principal	77.2% 11.0	.07	-.15	-.02	.09	-.12	.12
Supt.	20.1% 16.5	-.11	-.27	-.07	-.04	.44**	.48**
Students	15.5% 5.3	-.32*	-.19	-.32*	-.14	-.14	-.03
Number of Times Observed							
Number	2.67 0.40	.12	.20	.13	.35*	.36*	.25
Length of Post-observation Conference							
Minutes	18.7 4.0	.30*	.19	.33*	.40*	.30*	.17

[a] Item 45: Teacher satisfied with report form, 4 point scale.
Item 55: Fairness of evaluator, 3 point scale.
Item 56: Fairness of procedures, 3 point scale.
Item 57: Skilfulness of evaluator, 4 point scale.
Item 58: How seriously teacher took evaluation, 3 point scale.
Item 59: How seriously evaluator took evaluation, 3 point scale.

*Significant at the .05 level
**Significant at the .01 level

Table 51: Relationship of Who Collected Information and Time Spent on Evaluation to Effectiveness of Teacher Evaluation

(n = 30)

Who Collected Information and Time Spent	Item	Measures of Effectiveness[a]					No. of Sig. *r* /Sign[b]
		EFFTCH	SUP60	13	14	60	
	Mean s.d.	2.28 .67	3.25 .51	24.0% 10.2	15.3% 7.5	1.84 .19	
Individuals Highly Involved in Process							
Principal	77.2% 11.0	-.09	.17	.04	.21	.25	0
Supt.	20.1% 16.5	-.11	-.33	.04	.14	.29	2+
Students	15.5% 5.3	.21	.07	.20	.12	.22	2-
Number of Times Observed							
Number	2.67 0.40	.16	.21	.00	.02	.44**	3+
Length of Post-observation Conference							
Minutes	18.7 4.0	-.13	.16	.22	.18	.30	4+

[a] EFFTCH: Effectiveness of teacher evaluation - screening questionnaire, 3 point scale; n = 18.
SUP60: Extent of improved teaching performance - superintendent questionnaire, 4 point scale; n = 23.
Item 13: Achievement of evaluation goals for system, percentage of teachers indicating "completely" or "to a large extent".
Item 14: Achievement of evaluation goals for teachers; percentage of teachers indicating "completely" or "to a large extent".
Item 60: Extent of improvement in teacher's performance as a result of the last evaluation; 4 point scale.

[b] Number of significant correlations with each planning variable for both intervening (table 44) and final effect (table 45) variables. Signs indicate the direction of the correlations.

* Significant at the .05 level ** Significant at the .01 level

Use of observation and, particularly, interviews is related to the number of intervening and end-result variables. The use of questionnaires and documents did not exhibit consistent relationships.

Of all specific types of information, the use of specific notes stands out as having consistent positive relationships with the dependent variables, though general notes and daily lesson plans exhibit two significant correlations each. On the negative side, use of student attendance records (a very rare practice) is negatively correlated with five of the intervening and output variables. The rate of usage of most other specific types of information seems unrelated to the effectiveness of the evaluation system.

The degree of involvement reported, on average, for principals in the evaluation process appears to be unrelated to the effectiveness of the process, while the involvement of superintendents seems to make it a more serious affair, and that of students a less fair procedure (tables 50 and 51). The number of times observed and the length of post-observation conferences also seem to matter. More observations appear to reflect a skilful evaluator, a serious process, and are likely to result in more assistance to the teacher. Longer conferences are associated with satisfaction, fairness, skilfulness, and the seriousness of the occasion, but appear not to be translated into more effective performance by teachers.

3. Reporting and Follow-Up: Tables 52 and 53 show the relationships between reporting, especially in the form of conferences and written statements, and follow-up with the various intervening and dependent variables.

Table 52: Relationship of Reporting and Follow-Up to Intervening Effects of Teacher Evaluation
(n = 30)

Reporting and Follow-up	Item	Intervening Effects[a]					
		45	55	56	57	58	59
	Mean s.d.	2.95 .20	2.82 .06	2.77 .09	2.99 .12	2.49 .11	2.59 .11
Conferences							
Conf. after every obs.	50.9% 16.5	.18	.17	.25	.35*	.12	.33*
Final conf.	24.5% 15.7	-.15	-.19	.03	.08	.21	.35*

Table 52 (continued)

Statements							
Under headings	42.3% 18.7	.46**	.05	.10	.36*	-.10	-.14
Unstruct.	26.8% 15.9	-.06	.04	-.03	-.29	.05	.00
Form w/ ratings	13.6% 16.5	-.05	.30*	.25	.05	-.11	-.13
Form w/ summary marks	4.9% 6.7	.05	.14	.13	.04	.06	-.02
Appeal Process	39.4% 17.5	.30*	.08	.23	.28	.22	.09
Follow-up							
Plan dev.	16.1% 6.1	-.10	-.06	-.08	.25	.25	.45**
Monitor plan	36.2% 19.6	.04	-.23	-.10	-.05	-.15	-.05
Activities	48.1% 18.4	-.17	-.02	.08	-.15	-.01	-.19
Letter of commend.	8.1% 5.6	-.02	-.06	-.15	-.12	-.16	-.06

[a] Item 45: Teacher satisfied with report form, 4 point scale.
Item 55: Fairness of evaluator, 3 point scale.
Item 56: Fairness of procedures, 3 point scale.
Item 57: Skilfulness of evaluator, 4 point scale.
Item 58: How seriously teacher took evaluation, 3 point scale.
Item 59: How seriously evaluator took evaluation, 3 point scale.

* Significant at the .05 level
** Significant at the .01 level

Table 53: Relationship of Reporting and Follow-Up to Effectiveness of Teacher Evaluation

(n = 30)

Reporting and Follow-up	Item	Measures of Effectiveness[a] EFFTCH	SUP60	13	14	60	No. of Sig. r /Sign[b]
	Mean s.d.	2.28 .67	3.25 .51	24.0% 10.2	15.3% 7.5	1.84 .19	
Conferences							
Conf. after every obs.	50.9% 16.5	.33	-.01	.12	.09	.02	2+
Final conf.	24.5% 15.7	-.06	.06	.16	.20	.58**	2+
Statements							
Under headings	42.3% 18.7	-.15	.21	.38*	.24	.09	2+
Unstruct.	26.8% 15.9	.20	.34	-.16	-.31*	-.24	1+
Form w/ ratings	13.6% 16.5	.24	-.28	-.13	-.12	-.38*	1+ 1-
Form w/ summary marks	4.9% 6.7	.45*	.08	.14	-.06	-.42**	1+ 1-
Appeal Process	39.4% 17.5	.34	.17	.31*	.20	.10	2+
Follow-up							
Plan dev.	16.1% 6.1	.30	.20	.33*	.37*	.53**	4+
Monitor plan	36.2% 19.6	-.14	.44*	-.03	-.29	.19	1+
Activities	48.1% 18.4	-.37	.30	-.03	-.29	-.08	0
Letter of commend.	8.1% 5.6	-.01	.12	-.06	-.03	-.21	0

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[a] EFFTCH: Effectiveness of teacher evaluation - screening questionnaire, 3 point scale; n = 18.
SUP60: Extent of improved teaching performance - superintendent questionnaire, 4 point scale; n = 23.
Item 13: Achievement of evaluation goals for system, percentage of teachers indicating "completely" or "to a large extent".
Item 14: Achievement of evaluation goals for teachers; percentage of teachers indicating "completely" or "to a large extent".
Item 60: Extent of improvement in teacher's performance as a result of the last evaluation; 4 point scale.

[b] Number of significant correlations with each planning variable for both intervening (table 44) and final effect (table 45) variables. Signs indicate the direction of the correlations.

* Significant at the .05 level ** Significant at the .01 level

Table 54: Relationship of Evolution and Implementation of Policy to Intervening Effects of Teacher Evaluation
(n = 30)

Evolution and Implementation of Policy	Item	Intervening Effects[a]					
		45	55	56	57	58	59
	Mean	2.95	2.82	2.77	2.99	2.49	2.59
	s.d.	.20	.06	.09	.12	.11	.11
Participants in Policy Development							
Principals	39.8% 17.2	.55**	.02	.36*	.47*	.12	.16
Teachers	21.4% 17.3	.36*	-.10	.13	.35*	.21	.17
Efforts to Implement Policy							
Supporting documents	57.0% 21.4	.45**	-.06	.17	.33*	.06	.05
How careful read? 3 pt. scale	2.15% 21.4	.08	-.07	.27	.10	-.01	.33*
Held Workshops	23.6% 20.2	.22	-.15	.04	.12	.01	-.04
Partic. in workshops (if held)	52.2% 22.7	.33*	-.23	.00	.22	-.01	.10
Fidelity of Implementation							
As in policy	22.8% 10.3	.25	-.07	.07	.31*	.18	.32*

[a] Item 45: Teacher satisfied with report form, 4 point scale.
Item 55: Fairness of evaluator, 3 point scale.
Item 56: Fairness of procedures, 3 point scale.
Item 57: Skilfulness of evaluator, 4 point scale.
Item 58: How seriously teacher took evaluation, 3 point scale.
Item 59: How seriously evaluator took evaluation, 3 point scale.

*Significant at the .05 level
**Significant at the .01 level

Table 55: Relationship of Evolution and Implementation of Policy to Effectiveness of Teacher Evaluation

(n = 30)

Evolution and Implementation of Policy	Item	Measures of Effectiveness^a					No. of Sig. r/Sign^b
		EFFTCH	SUP60	13	14	60	
	Mean s.d.	2.28 .67	3.25 .51	24.0% 10.2	15.3% 7.5	1.84 .19	
Participants in Policy Development							
Principals	39.8% 17.2	.42*	.48**	.44**	.46**	.25	7+
Teachers	21.4% 17.3	.15	.53**	.42**	.47**	.36*	6+
Efforts to Implement Policy							
Supporting documents	57.0% 21.4	.23	.46*	.20	.22	.25	3+
How careful read? 3pt. scale	2.15% .25	.21	-.10	.25	.20	.20	1+
Held Workshops	23.6% 20.2	.00	.41*	.12	.21	.33*	2+
Partic. in workshops (if held)	52.2% 22.7	.45	.50*	.21	.45**	.25	3+
Fidelity of Implementation							
As in policy	22.8% 10.3	.42*	.47**	.61**	.48**	.15	6+

Table 55 (continued)

[a] EFFTCH: Effectiveness of teacher evaluation - screening questionnaire, 3 point scale; n = 18.

SUP60: Extent of improved teaching performance - superintendent questionnaire, 4 point scale; n = 23.

Item 13: Achievement of evaluation goals for system, percentage of teachers indicating "completely" or "to a large extent".

Item 14: Achievement of evaluation goals for teachers; percentage of teachers indicating "completely" or "to a large extent".

Item 60: Extent of improvement in teacher's performance as a result of the last evaluation; 4 point scale.

[b] Number of significant correlations with each planning variable for both intervening (table 44) and final effect (table 45) variables. Signs indicate the direction of the correlations.

* Significant at the .05 level ** Significant at the .01 level

The efforts made to implement policy, in the form of supporting documents, workshops, and the percentage of teachers who participated in workshops, all exhibited two or three significant positive correlations with both intervening and dependent variables.

Finally, the fidelity of implementation had six positive, significant correlations with the dependent variables. That is, boards where teachers reported that evaluation was practised as called for in policy were more likely to have systems rated as effective by directors, superintendents, and teachers alike.

5. Demographic Variables: Though not falling within the framework used to analyse evaluation systems, characteristics of school boards such as size, rate of decline in enrolment, and teacher seniority could relate to the effectiveness of evaluation systems. While not variables that school boards can normally control, they may provide clues to the types of board most likely to have effective systems.

Tables 56 and 57 report analyses similar to the preceding 12 tables for five school board characteristics (type, enrolment, year in which the policy was adopted or last revised, rate of enrolment decline, and percentage of French-language schools) and eight teacher characteristics (average age, percentage with degrees, percentage who teach specialized subjects, mean years in same school, mean years in same board, mean years of experience, percentage of staff who are male, and percentage with probationary appointments).

Table 56: Relationship of Background Variables to Intervening Effects of Teacher Evaluation (n = 30)

Background Variables		Intervening Effects[a]					
	Item	45	55	56	57	58	59
	Mean s.d.	2.95 .20	2.82 .06	2.77 .09	2.99 .12	2.49 .11	2.59 .11
School System Characteristics							
Type (0=pub; 1=sep)	0.47 .51	-.20	-.23	-.09	-.03	.26	.35*
1982 Enrolment	20,923 24,906	.19	.21	.23	.02	-.04	-.25

Table 56 (continued)

Year adopt policy	1978 4	-.08	-.15	.10	.13	-.20	-.26
Rate of decline in enrolment	2.2% 19.5	-.10	.05	-.08	-.15	-.35*	-.32*
Percentage French schools	9.4% 16.5	-.08	.10	.15	.07	-.07	.12
Teacher Characteristics							
Average age 10 pt-scale	4.11 .48	.04	.12	.14	.03	-.08	-.08
Percent w/ degree	69.8 9.0	.24	.11	.10	.10	-.22	-.38*
Percent w/ specializ.	74.6 9.7	.16	.34*	.06	.06	.14	-.06
Mean yrs in school	7.23 1.96	-.09	.12	.00	-.19	-.52**	-.37*
Mean yrs in board	11.2 1.8	.10	.21	.27	.10	-.14	-.30
Mean yrs experience	13.8 1.8	.03	.20	.23	.07	-.09	-.13
Percent males	36.8 12.2	.05	.17	.04	-.13	-.28	-.33*
Percent on probation	6.88 5.14	-.31*	-.25	-.31*	-.21	.15	.34*

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[a] Item 45: Teacher satisfied with report form, 4 point scale.
Item 55: Fairness of evaluator, 3 point scale.
Item 56: Fairness of procedures, 3 point scale.
Item 57: Skilfulness of evaluator, 4 point scale.
Item 58: How seriously teacher took evaluation, 3 point scale.
Item 59: How seriously evaluator took evaluation, 3 point scale.

* Significant at the .05 level

** Significant at the .01 level

Table 57: Relationship of Background Variables to Effectiveness of Teacher Evaluation (n = 30)

Background Variables	Item	Measures of Effectiveness[a]					No. of Sig. r /Sign[b]
		EFFTCH	SUP60	13	14	60	
	Mean	2.28	3.25	24.0%	15.3%	1.84	
	s.d.	.67	.51	10.2	7.5	.19	
School System Characteristics							
Type (0=pub; 1=sep)	0.47 .51	-.12	-.23	-.03	.20	.41*	2+
1982 Enrolment	20,923 24,906	.09	.09	-.08	-.19	-.15	0
Year adopt policy[c]	1978 4	-.21	-.12	-.01	-.08	-.03	0
Rate of decline in enrolment	2.2% 19.5	.24	.14	.03	-.04	-.17	2-
Percentage French schools	9.4% 16.5	.35	-.13	-.06	.02	.06	0
Teacher Characteristics							
Average age 10 pt-scale	4.11 .48	.00	.01	.00	-.18	-.04	0
Percent w/ degree	69.8 9.0	.39*	-.17	-.18	-.15	-.34*	1+ 2-
Percent w/ specializ.	74.6 9.7	-.15	.34*	.03	-.29	-.31*	2+ 1-
Mean yrs in school	7.23 1.96	.12	.19	-.10	-.24	-.34*	3-
Mean yrs in board	11.2 1.8	.01	-.21	-.29	-.37*	-.12	1-
Mean yrs experience	13.8 1.8	.08	-.16	-.10	-.20	-.05	0
Percent males	36.8 12.2	.12	.10	-.05	-.27	-.46*	2-
Percent on probation	6.88 5.14	-.50*	-.11	.17	.11	.14	1+ 3-

Table 57 (continued)

[a] EFFTCH: Effectiveness of teacher evaluation - screening questionnaire, 3 point scale; n = 18.
SUP60: Extent of improved teaching performance - superintendent questionnaire, 4 point scale; n = 23.
Item 13: Achievement of evaluation goals for system, percentage of teachers indicating "completely" or "to a large extent".
Item 14: Achievement of evaluation goals for teachers; percentage of teachers indicating "completely" or "to a large extent".
Item 60: Extent of improvement in teacher's performance as a result of the last evaluation; 4 point scale.

[b] Number of significant correlations with each planning variable for both intervening (table 44) and final effect (table 45) variables. Signs indicate the direction of the correlations.

[*] Significant at the .05 level [**] Significant at the .01 level

In interpreting these data, we must bear in mind that the variables are not independent of one another. In particular, public boards of education are more likely to have more qualified staff and more males because they include a secondary panel and, historically, staff in secondary schools have been required to have degrees and have been more likely to be men. Ontario separate schools, at this time, extend only to Grade 10.

In terms of system characteristics, two variables appear related to the effectiveness of evaluation systems, type of board and rate of decline in enrolment. In the first case, separate school teachers report more effective evaluation systems; in the second, teachers in boards with higher rates of decline in enrolment (which, in the majority of cases, are public boards) report less effective systems. Size of board, year in which the evaluation policy was adopted, and percentage of French-language schools do not correlate with effectiveness.

Whether or not separate schools actually have more effective systems is difficult to say from these data. It will be recalled that elementary teachers, public or separate, reported that evaluation was more effective than did secondary school teachers. Thus, the observed correlation may come exclusively from the impact of the experiences of those in the secondary panels in public boards. A similar situation pertains in interpreting the relationship between declining enrolment and the effectiveness of evaluation systems.

Several teacher characteristics are related to the perceived effectiveness of evaluation systems, including percentage with degrees (one positive and two negative), percentage with specialization (two positive and one negative), mean years in same school (three negative), mean years in board (one negative), percentage male (two negative), and percentage on probation (one positive and three negative). Mean years of experience and average age showed no relationships.

Interpreting these results is, again, difficult. One cluster of variables, including percentage with a degree, percentage with a specialization, mean years in the same school, and mean years with the same board, all correlated with the characteristics of secondary teachers. It is impossible to determine which of these, if any, is a cause of the others. Are individuals with degrees less likely to profit from evaluation because they are more skilled? Is the same true of those who teach specialized subjects? Are those with many years in the same school unable to profit from additional evaluations, possibly by the same principal? Are males less likely to profit from evaluation because of male attitudes or because they are more likely to have degrees or because of other factors? It is quite likely that these questions are unanswerable; in any case, they cannot be answered with the data collected for this study.

The percentage of teachers on probation also has correlations which are difficult to interpret. On the one hand, it is positively correlated with how seriously the evaluator took the process. This is logical; one would expect beginning teachers to perceive evaluators are serious. On the other hand, negative correlations with the fairness of the evaluator, skilfulness of the evaluator, and directors' ratings of the system's effectiveness are more difficult to interpret. Perhaps the only logical conclusion is that, in boards that are still hiring many new teachers, evaluation tends to be a serious but not fully developed affair.

Although virtually all these correlations are difficult to interpret, they do identify certain traits of teachers or school boards that are associated -- positively or negatively -- with the effectiveness of teacher evaluation systems. It is apparent that either developing and implementing an effective system in a board with more highly educated staff with above average seniority is more difficult than in other boards, or that such boards are less likely to work hard at the process. Ironically, boards at the other end of the spectrum, those with large percentages of probationary teachers, face a similar problem, though in these cases it is the quality of the evaluation experience, rather than its effect on teaching, that is of concern.

Performance Appraisal of Principals

A sample of 1211 principals in 30 Ontario school boards -- 16 public and 14 Roman Catholic separate -- was asked to reply to the English-language version of the principal questionnaire. Completed questionnaires were received from 879 principals, yielding an overall rate of return of 72.6 per cent. Of those returning questionnaires, 50.5 per cent were from elementary public schools, 12.3 per cent from secondary public schools, and 36.5 per cent from separate schools; 0.7 per cent were not identified as to the type of school. Table 58 reports the distribution of respondents by region and type of school; column totals include those for whom type of school was not available.

Table 58: Distribution of Principals by Region and by Type of School

Region	Public Elementary (n=444)		Public Secondary (n=108)		Separate (n=321)		Total (n=879)	
	n	%	n	%	n	%	n	%
Northern	30	6.8	7	6.5	29	9.1	68	7.7
Western	63	14.2	15	13.9	39	12.1	117	13.3
Central	295	66.4	64	59.3	215	67.0	578	65.8
Eastern	56	12.6	22	20.4	38	11.8	116	13.2
Total	444	50.5	108	12.3	321	36.5	879	100.0

Of the principals who responded, 84 per cent indicated that their board conducted formal appraisals of principals' performance. There was considerable variation in the responses between those in public elementary or secondary schools and those in separate schools: over 90 per cent of the former reported performance appraisals as compared with 69 percent of the latter.

Twenty-six principals returned French-language questionnaires. All were in Eastern Ontario and 89 per cent reported that performance reviews of principals occurred in their board. For the following analyses, responses are limited to those principals who reported that their board conducted formal principal evaluation. Most statistics are overall percentages and means; when differences among those in schools of different type or language are substantial, these are noted.

Preparation

Preparation for the performance appraisals involved four aspects: planning, purposes, criteria, and standards.

Planning

For most principals, their last evaluation began with personal notification of the impending review followed by both a request for materials and a pre-conference. Specifically, 58 per cent were notified personally, 33 per cent by memorandum, 33 per cent by informal visits to the school, 58 per cent in a request for a statement about their school, and 25 per cent in a request for a self-evaluation. Secondary principals were more likely than others to have received a personal notice (76 per cent) and somewhat less likely to be asked for a statement about their school (50 per cent), while FLS principals were more likely to experience informal visits (67 per cent) and to be asked for a self-evaluation (47 per cent).

Pre-conferences were reported by 70 per cent of all principals; they were slightly more likely in separate school boards (recalling, of course, that this obtains only for those separate school boards with appraisal systems). Conferences averaged 51 minutes in length (*s.d.* = 27), and were slightly longer in separate school boards (61 minutes).

As a result of the pre-conferences, 72 per cent of the principals reported understanding the appraisal procedures (93 per cent of secondary principals and 60 per cent of FLS principals). Sixty-eight per cent reported agreeing on specific objectives during these conferences, though this practice was apparently more common with separate school principals (82 per cent).

Overall, 74 per cent of the principals reported that objective-setting was used in their last appraisal, whether or not they had a pre-conference. Twenty-one per cent indicated objectives were not set and the remaining 5 per cent either were not sure or did not answer. Objective-setting was reported with equal frequency among different types of school, but was less common in FLSs (53 per cent).

When objective-setting was used, 47 per cent of the principals indicated that they set their own objectives and 51 per cent that the objectives were set collaboratively with their evaluators. Only 2 per cent reported that the appraisers set objectives for them.

In a majority of the cases (76 per cent), objectives focussed on both the principal personally and the school as a whole; 19 per cent of the time the school was the focus, and 5 per cent of the time the focus was on the principal personally.

Purposes

Principals were asked what the purposes of their last appraisal were and what they believed the purposes of principal evaluation ought to be. Results are reported in table 59.

Table 59: Actual and Ideal Purposes of Principal Evaluation, as Reported by Principals

Purpose	Actually Used (n=556)	Always Ought to Be Used (n=879)
To improve student learning	60.1%	77.3
To develop the school community	59.4	44.0
To identify administrative weaknesses in need of improvement	60.8	61.9
To identify instructional weaknesses in the school in need of improvement	43.7	61.5
To comply with Ministry and Board policy	73.6	47.3
To qualify principal for regular increment	1.1	6.8
To select principals for promotion	5.9	24.1
To identify inservice training needs	26.1	39.1
To stimulate improved administrative performance	63.1	62.8
To recommend first year principals for permanent assignment	6.7	44.4
To identify principals for reassignment as teachers in case of school closings	1.6	12.2
To establish evidence for demotion due to inadequate administrative performance	5.6	25.0
To assess effectiveness of instructional program	57.0	58.6
To identify individuals for transfer	6.8	10.9
To reassure and develop self-confidence	52.0	65.2
To assess and improve curriculum	51.4	62.1
To improve communication between principals and supervisory officers	52.7	55.7
To clarify the principal's role	35.1	55.0

In general, it appears that the purposes principal appraisal is seeking to achieve are those which have the principals' support. Primary among these are what can be termed developmental purposes, i.e., those related to the improvement of their on-the-job performance, including both administrative and curricular matters in the school. Evaluation appears rarely to be carried out for administrative purposes such as deciding salaries or who should be transferred, and principals tend to believe this is as it should be. One apparent exception to this general statement -- the small percentage reporting the use of appraisal in deciding whether or not an appointment should be made permanent contrasted with a considerably larger percentage believing this ought always be a purpose -- is explained by the relatively small percentage of principals surveyed who were new to the job and to whom this purpose could have applied. Only 7 per cent of the principals surveyed were in the first year of a principalship when last appraised.

The purposes of their appraisal were effectively communicated to 76 per cent of the principals, they had not been made clear to 19 per cent, and 5 per cent were not sure. Effective communication of purposes was no more likely among those who had had pre-conferences than among those who had not.

Criteria

Table 60 reports the criteria used in principals' last performance appraisal and those that principals, teachers, superintendents, and directors believe ought to be used.

Table 60: Actual and Ideal Critera Used in Principal Evaluation, as Reported by Principals, Teachers, Superintendents, and Directors

Criterion for Appraisal	Actual	Ideal			
	Prin. (n=556)	Prin. (n=879)	Teach. (n=4082)	Supt. (n=114)	Dir. (n=26)
General domains					
Administrative performance	89.7%	84.1%	88.3%	89.8%	76.0%
School and community relations	87.8	65.6	64.8	91.7	88.5
Program organization	82.6	77.8	72.0	89.8	84.6
Personnel management	79.9	79.9	80.8	88.9	80.8
Contribution to board	40.5	25.9	18.3	37.4	42.3
Contribution to religious education	21.2	22.9	12.7	27.3	44.0
Routine administration of:					
Program	76.6	74.7	71.7	90.7	73.1
Budget	57.2	52.2	59.2	73.1	65.4
Records	50.2	51.0	55.7	74.1	57.7
School plant	52.7	43.8	41.2	61.1	53.8
School discipline	55.9	57.9	80.7	85.2	76.9
Interpersonal relations with:					
Parents	75.0	64.8	58.4	82.4	88.5
Teachers	76.8	77.8	82.0	90.7	92.3
Other principals	29.7	29.7	26.1	44.4	40.0
Supervisory officers	43.9	46.4	37.1	58.3	60.0
Improving school effectiveness through:					
Program development	69.4	71.9	64.9	78.7	88.5
Program implementation	71.4	74.8	66.4	89.8	92.3
Program evaluation	66.5	69.8	61.7	84.3	84.6
Parent involvement	54.9	33.2	32.1	59.3	57.7
Staff evaluation	71.6	60.7	55.9	86.1	84.6
Innovative activities	49.3	36.7	38.7	49.[illegible]	53.8
Assessing individual student needs	40.8	54.9	45.6	66.5	54.2

18:

Taken together, the results portrayed in table 60 suggest two points. First, both principals and those about them have very comprehensive views about the nature of the principal's role; very few items score less than 50 per cent under the Ideal column, meaning that at least half of the respondents felt that virtually all of the items noted ought to be criteria in a principal's evaluation. Second, there is a high degree of consensus as to the appropriate criteria; on only a handful of items is there much divergence of opinion. Those exceptions are of interest, though.

Among the general domains, principals express a desire for less emphasis on school and community relations, a direction with which the teachers concur. Senior administrators, however, place strong emphasis on this domain.

There also seems to be some contention as to the emphasis that should be placed on student discipline in a principal's appraisal. Principals feel that the current emphasis is about right, while teachers and senior administrators seem to believe that more emphasis is called for.

Also, in bringing about change in the school, particularly as it concerns program development, implementation, and evaluation, principals seem to prefer a slight increase in emphasis, teachers a slight decrease, and senior administrators a considerable increase. The pattern of opinions regarding the matter of staff evaluation is quite similar, though principals desire somewhat less emphasis on this matter.

It would appear, then, that in spite of a basic consensus as to what the principal's job is, there is some divergence of opinion as to what aspects should receive more or less attention in principals' performance appraisal. Teachers seem to be suggesting that the first priority is to maintain an orderly school environment, and the second is not to meddle in the classroom. Senior management seems to suggest that the first priority for principals is to bring about change by developing, implementing, and evaluating programs and by evaluating staff.

Standards

Taking criteria or criterion domains to represent what is to be evaluated, standards reflect the level of performance that is expected. How are standards set in the evaluation of principals? Twelve per cent of the principals indicated that standards were set by board policies, 25 per cent by the appraiser, 3 per cent by the appraisee, and 43 per cent collaboratively between the two. In addition, 17 per cent were not sure.

Separate school principals were more likely to report that standards were set collaboratively (60 per cent) than were those in elementary or secondary public schools, and less likely to report that they were set by policy or by the appraiser. In contrast, FLS principals were most likely to report standards were set by the appraiser (53 per cent).

Data Collection

Four aspects of data collection were considered: sources of information, types of information, who collected information, and the time spent doing so.

Sources of Information

Most principals (92 per cent) indicated that they had provided information to their evaluators. Their superintendent was the next most likely individual to provide information (40 per cent), followed by teachers (24 per cent), parents (7 per cent), students (7 per cent), and others (6 per cent). Students were somewhat more likely to provide information at the secondary level (15 per cent) than at the elementary level, public or separate. As well, FLS principals were more likely to report involvement of teachers (53 per cent) and their superintendents (80 per cent).

In a companion question, teachers were asked who provided information in their principal's last appraisal. Nineteen per cent reported all teachers provided information and 14 per cent that a few teachers did so. As well, 7 per cent reported information was sought from parents, 9 per cent from students, and 52 per cent from the area superintendents. Individually, 23 per cent of the teachers reported personally to have provided information,

confirming the reports of principals. FLS teacher responses were similar to those of ELS teachers, except that 81 per cent of those whose principals had been evaluated reported having provided information personally.

Opinions concerning who ought to provide information paralleled the actual situation. Almost all principals (96 per cent) thought that they always should provide information; as well, 89 per cent thought their superintendents should. Only 32 per cent thought teachers always should provide information, and 11 per cent that parents and students should do so. Teachers generally agreed with principals, except that 48 per cent thought that teachers always should be sources of data. Opinions of superintendents were similar to those of teachers, envisioning a somewhat greater role for teachers in the process than did the principals.

Types of Information

Reports of principals as to the types of information actually used in their performance appraisals, along with their views and those of superintendents and directors as to the types that ought always be used, are presented in table 61.

Table 61: Actual and Ideal Types of Information Used in Principal Evaluation, as Reported by Principals, Superintendents, and Directors

Type of Information	Principals		Supt's.	Directors
	Actual (n=556)	Ideal (n=879)	Ideal (n=114)	Ideal (n=26)
Checklist completed by appraiser	21.6%	15.1%	23.6%	32.0%
Notes by appraiser on specific activities	56.5	45.9	65.7	65.4
General notes taken by appraiser	56.8	45.9	62.3	42.7
Questionnaires completed by students	1.1	2.8	0.0	0.0
Self-evaluation questionnaires	14.2	49.9	36.8	41.7
Written self-evaluations	26.4	32.1	33.7	32.0
Daily calendar or diary	9.5	7.5	16.2	4.0
Standardized test scores for students	5.4	2.1	4.9	0.0
Samples of student work	10.4	8.0	20.8	0.0
Grade reports of students	6.7	4.1	12.4	8.3

Table 61 (continued)

Written report from previous appraisal	18.2	18.3	38.7	57.7
Student attendance records	6.8	2.7	3.8	4.2
School budget	27.3	15.8	38.3	34.6
School timetable	30.9	21.9	43.0	32.0
Student discipline records	14.0	9.2	17.9	28.0
School handbook	29.9	21.4	40.0	44.0
School newsletter to parents	40.5	23.9	47.6	24.0
Goal package principal prepared for self and school	70.0	68.2	81.0	92.3

There appears to be a fair degree of consensus between principals, superintendents, and directors as to the types of information that ought to be used in principal appraisal, and for the most part these coincide with the types of information actually used. In particular, there is strong support for the idea that principals should submit a "goal package" that they have prepared for themselves and the school. Also, there is agreement that notes, both specific and general, taken by observers should be used and that school output measures, such as standardized test scores or student absence records, should not. Nevertheless, there are moderate differences of opinion about the use of a number of types of information.

First, as one goes up the hierarchy, one finds greater support for the use of checklists to be completed by the observers. Principals see this technique as being used too much at present, while superintendents and directors believe it should be used more. Second, superintendents seem to have highest regard for certain "intermediate" products originating in the school (items such as newsletters, budgets, and timetables) while principals perhaps see these as used too much at present. Third, principals seem to place more faith in self-evaluation than do their supervisors. Finally, directors would like to see reports from the previous appraisal be used as part of the information in a current appraisal. In summary, it appears that both of the parties involved -- the principals and their supervisors -- place greater emphasis on the information they provide and less on that provided by the other.

Similar patterns of responses were evident in public elementary, separate, secondary, and FLS schools. A few minor deviations are worth noting, though. Secondary principals were more likely to report use of intermediate output measures such as student attendance records (16 per cent), student discipline records (26 per cent), and a school handbook (37 per cent). As well, a greater proportion reported use of a previous evaluation report (30 per cent). FLS principals were far more likely to report use of student disciplinary records (73 per cent), and they tended to support regular use of this information in the review of principals (42 per cent).

Collectors of Information

Either a single superintendent or a team of superintendents was most likely to be involved in collecting information and carrying out a principal's performance appraisal. Ninety per cent of the principals reported the former approach was used in their last evaluation while the remaining 10 per cent reported a team was used.

When asked who was highly involved in their last appraisal, the principals responded as follows: themselves, 82 per cent; teachers, 15 per cent; department heads, 2 per cent (15 per cent in secondary schools); vice-principal, 8 per cent (17 per cent secondary); co-ordinators, 1 per cent; other principals, 1 per cent; their superintendent, 91 per cent; other superintendent(s), 14 per cent; the director, 7 per cent; parents, 2 per cent; and students, 1 per cent.

Except as noted, the pattern was quite uniform across schools of different type. FLS principals, however, reported a somewhat different pattern. Only 57 per cent reported having been highly involved themselves and none reported use of other superintendents or an evaluation team.

Time Spent

Principals were asked how many days their evaluators spent collecting information, and how many they felt should be spent. Superintendents and directors were asked how many days they believed should be spent collecting information to evaluate a typical elementary school with 300 pupils and 15 teachers. The responses are reported in table 62.

Table 62: Actual and Ideal Amount of Time Involved in Collecting Principal Evaluation Information, as Reported by Principals, Superintendents, and Directors

Number of Days	Principal		Supt's.	Directors
	Actual (n=537)	Ideal (n=838)	Ideal (n=108)	Ideal (n=25)
None	23.5%	1.8%	0.0	0.0
One	27.7	10.7	4.6	4.0
Two	12.5	16.5	5.6	4.0
Three	11.5	20.5	24.1	16.0
Four	7.3	6.0	13.0	8.0
Five	6.9	18.0	22.2	24.0
More than five	10.6	26.5	30.6	44.0

It would appear that actual and ideal practice diverge considerably as far as time spent collecting information is concerned. And, the amount of time considered necessary to evaluate a principal increases with a person's position in the hierarchy.

The amount of time reportedly spent in collecting information was relatively uniform across different types of school, although secondary principals were somewhat more likely to report that their appraisers had spent more than five days (21 per cent). FLS principals reported a very different picture, however. Of the 15 of them evaluated, 20 per cent indicated no days had been spent, while 47 per cent indicated more than five days; the remainder were spread out between these extremes.

Superintendents additionally were asked what percentage of their time was spent on evaluation and what percentage they felt should be spent. The average superintendent reportedly spent 16 per cent of his or her time on evaluation (s.d. = 15); the average preferred amount of time was 24 per cent (s.d. = 18).

Reporting and Follow-Up

Reporting and follow-up are concerned with both the nature of the report and the procedures followed, including where copies of the report are sent, how the report is shared, and the follow-up that occurs once the formal performance appraisal is completed.

Nature of Report

To conclude an evaluation, a written report is normally prepared. Often, this is discussed at a post-conference and plans may be made for acting on recommendations made in the report. If a principal is dissatisfied with the results, an appeal process may be available.

In 83 per cent of the cases, principals reported that a post-conference was held. Ninety-seven per cent of the principals reported that their superintendents were at this conference; 12 per cent reported that another supervisory officer was also present. These conferences averaged 53 minutes in length (s.d. = 35).

Most principals reported that post-conferences were very well planned (33 per cent) or fairly well planned (54 per cent). Typically, both parties participated freely (86 per cent), though 9 per cent reported they had been restrained and their evaluator had not, and 4 per cent reported both were restrained.

Eighty-three per cent of the principals reported the post-conference was not at all threatening, 15 per cent somewhat threatening, and 2 per cent very threatening. Criticism tended to be completely constructive (67 per cent); 12 per cent reported it was partly constructive, and 19 per cent that it was altogether absent. Only 2 per cent reported entirely unconstructive criticism.

Most principals felt good after the post-conference (70 per cent); 20 per cent felt neither good nor bad. Eight per cent reported feeling somewhat negative and 3 per cent very uneasy and defensive.

The statement principals received tended to be either a statement under several headings (48 per cent) or an unstructured statement (21 per cent). Thirteen per cent reported a form with various ratings and only 5 per cent a summary mark or score. Eighteen per cent reported there was no formal document. Of those receiving statements, 20 per cent were very satisfied with the type of document, 62 per cent satisfied, 11 per cent dissatisfied, and 8 per cent very dissatisfied.

Thirty-six per cent of the principals stated there was an appeal process they could have used had they been dissatisfied with the results of their appraisal, 25 per cent stated no such process existed, 26 per cent were unsure, and 12 per cent did not answer the question. Of the 194 principals responding, 1 per cent indicated they had appealed. This represented appeals by two principals, both in public elementary schools.

Destination of Report

Eighty-four per cent of the principals reported that they kept a copy of their evaluation report; 70 per cent indicated a copy also went to their school board's office as part of a permanent record. Other responses were rare: 3 per cent that a copy was placed on file in the school and will be destroyed when the principal leaves; 8 per cent that a copy is kept in the board's offices and will be destroyed after a certain number of years; and 8 per cent uncertain what happened to copies of the report.

Report Sharing

Seventy-two per cent of the principals reported that they were required to sign their evaluation report, 24 per cent that they were not, and 4 per cent did not recall. Whether or not the report was shared with others was not determined in the questionnaire survey, though it was clear from the case studies that, in boards conducting principal appraisals, principals are usually requested to share the results, as appropriate, with their staff. A few boards go beyond this and evaluators report to the school staff concerning their impressions of the school, omitting any evaluative comments concerning the principal.

Follow-Up

A plan of action was developed for 28 per cent of the principals responding; such plans were most common at the secondary level (41 per cent) and less common in FLSs (7 per cent). Of those with plans, 59 per cent reported that the plans were monitored and 66 per cent reported having engaged in academic or professional development activities to carry out their plans.

Other types of follow-up occurred on occasion. Seventeen per cent of the principals reported letters of commendation; 1 per cent (representing five of the 556 principals responding) were placed under review.

Evolution of Policy

The process of developing and implementing a policy for principal appraisal and the specifics of the policy were considered two key aspects of the policy's evolution.

Implementation

Principals reported rather widespread involvement of others in the development of their board's policies. Almost always involved were superintendents (94 per cent) and principals (74 per cent). Other individuals or groups involved were directors (64 per cent), trustees (20 per cent), teachers (15 per cent), consultants (8 per cent), and parents (2 per cent). Principals generally supported this pattern of involvement, though 65 per cent saw greater teacher involvement as desirable.

Once procedures were developed, over 80 per cent felt the director, superintendents, and principals should be involved in granting formal approval to them. Only 65 per cent thought that the trustees need be involved in this and just 59 per cent that the teachers' federations should be requested to approve them.

Workshops to assist in the implementation of the policies were reported by 57 per cent of the principals. Half of these principals rated the workshops as very thorough, and the others as not being thorough. However, 71 per cent of the directors reported having had thorough workshops in their board; 50 per cent of the superintendents reported thorough workshops and 26 per cent workshops that were not very thorough.

Degree of Specification

As noted earlier, 84 per cent of the principals indicated that some form of principal appraisal was carried out in their board. Seventy-three per cent indicated that there were documents that described the criteria, procedures, and so forth, and 98 per cent of the superintendents and 94 per cent of the directors indicated their board had such documents.

There were problems with current procedures in the eyes of many principals. Twenty-seven per cent felt that the policies lacked sufficient detail; 20 per cent that the procedures did not clarify roles adequately; and 27 per cent that the support documents were inadequate. In short, a significant number of principals perceive policies as being not sufficiently specific.

Questions were not asked concerning the separation of evaluation for administrative purposes from developmental purposes. From data on the purposes of evaluation, however, it is clear that principal evaluation is primarily concerned with improving a principal's performance on the job and not administrative matters. In general, the separation of evaluation for different objectives did not appear to be as significant an issue for principal evaluation as it was for teacher evaluation.

Impact of Policy and Practice

The effects of policies for the appraisal of principals depend upon the degree of compliance with policy and the efforts made in implementing and administering policy. In this section, a description of the findings in each of three areas, compliance, effort, and impact, is presented, followed by an analysis of the relationships of various features of performance appraisal policies with different types of impact.

Degree of Compliance

Principals, superintendents, and directors were asked the extent to which the practice of principal evaluation followed the policy. Their assessments are reported in table 63. Most felt that policies were followed relatively well.

Table 63: Degree of Fidelity of Practice to Policy in Principal Evaluation, as Reported by Principals, Superintendents, and Directors

Degree of Fidelity	Principals (n=879)	Superintendents (n=89)	Directors (n=17)
Very different from policy	5.0%	0.0	0.0
Approximately as in policy or as in policy	72.5	88.8	76.5
Not sure	11.5	3.4	5.9
Not applicable	8.1	7.9	11.8

Extent of Effort

A number of items, some already described, indicate the effort put into implementing principal appraisal. Workshops and their quality are two indicators; another is the amount of resources committed to the program.

Sixteen per cent of the principals believed a great deal of resources had been committed by their board to implementing the program, 28 per cent not much, and 38 per cent little or none. As well, 17 per cent were not certain.

Directors and superintendents were asked the priority they placed on implementing principal evaluation in their jurisdiction. Eighty-two per cent of the directors and 80 per cent of the superintendents indicated it was a high priority; 18 per cent of the former and 17 per cent of the latter placed moderate priority on it. Low or very low prioity was given it by 3 per cent of the superintendents.

Effort is also reflected in the skill with which the process is carried out. Principals were quite positive on this matter, 20 per cent indicating that their evaluators were very skilful and 63 per cent that they were skilful. Only 15 per cent found them not very skilful and 3 per cent altogether lacking in the needed skills.

Finally, the seriousness with which the process is taken is an indicator of effort; if one is not serious about an endeavour, little effort is likely to be forthcoming. Fifty-eight per cent of the principals indicated that they took their evaluations very seriously and 59 per cent believed their appraisers did so. As well, 35 per cent of the principals took them somewhat seriously and 7 per cent not seriously at all. As for their appraisers, 59 per cent of the principals believed that they had taken it very seriously, 37 per cent somewhat seriously, and 3 per cent not seriously at all.

In sum, one would conclude that moderate efforts have been made at implementing appraisal processes for principals.

Nature and Degree of Impact

Impact can occur in the form of a change in a person's internal self or his/her external behaviour. Information was sought on both aspects of principals' reactions to appraisal.

Their reactions to post-conferences have already been described. It seems fair to conclude that, in the majority of cases, principal evaluation serves to reinforce the commitment and morale of principals. Many leave the process feeling very good about it and themselves.

A positive response may in part depend upon the perceived fairness of the process. Eighty-six per cent of the principals felt the judgement about their performance was fair; only 8 per cent felt it somewhat unfair and 6 per cent very unfair. Responses concerning the procedures were slightly less positive: 80 per cent judged them fair, 15 per cent somewhat unfair, and 5 per cent very unfair.

Trustees saw principal appraisal as being moderately successful (3.2 on a 5-point scale) in achieving its administrative objectives. Their average response was marginally lower (3.1) for the achievement of developmental objectives.

Finally, principals, teachers, and directors were asked how much improvement resulted from principal evaluations. Both principals and teachers were asked to reflect on the situation in which they were last involved. Their responses are in table 64.

Table 64: Degree of Improvement in Principal Performance After Evaluation, as Reported by Principals, Teachers, and Directors

Degree of Improvement	Principals (n=523)	Teachers (n=982)	Directors (n=16)
Not at all	18.5%	26.1%	0.0%
A small amount	51.8	13.0	12.5
A modest amount	24.7	9.9	50.0
A substantial amount	5.0	1.9	37.5
Don't know	--	49.1	--

It is clear from these results that directors see principal appraisal as having more positive results than do the other two groups queried. At the same time, there seems to be a consensus that the practice does have an effect, which, in some cases, may be substantial.

Evaluation System Characteristics and Effectiveness. To determine if specific features of principal appraisal systems are related to the results just reported, we carried out a correlational analysis similar to that conducted for teachers. The results are presented in tables 65 through 78.

1. Preparation: The relationships of different dimensions of planning for principal appraisal and of the purposes and criteria used in the process with various measures of the effect of appraisal are reported in tables 65 through 68. As far as planning is concerned, only one category stands out: pre-conferencing. The existence of a pre-conference and, particularly, its length show a number of positive correlations with several intervening or final-effect variables. Results for other characteristics, such as the method of notification or use of objectives-based evaluation, are either mixed or negligible.

Table 65: Relationship of Planning for Evaluation to Intervening Effects of Principal Evaluation
(n = 27)[a]

Planning for Evaluation		Intervening Effects[b]					
Planning for	Item	35	45	46	47	48	49
Evaluation	Mean	2.89	2.79	2.76	2.99	2.56	2.61
	s.d.	.35	.15	.16	.24	.30	.27
Method of Notification							
In person	56.6% 21.0	.01	.15	.10	-.09	.29	.27
By memo	27.6% 25.8	.47**	.21	.23	.19	.05	.14
Visits	36.6% 21.2	-.38*	.17	.19	.27	-.08	-.07
Statement on school	58.6% 25.4	.16	-.13	-.08	-.18	-.60**	-.37*
Pre-evaluation conference							
Conf. held	68.0% 25.8	.34*	.31	.34*	.24	-.07	-.08
Length	48.6 15.3 min.	.45**	.53**	.59**	.57**	.32	.36*
Objectives-based							
Utilized	73.2% 30.3	.45**	.03	.17	.00	-.34*	-.15

[a] The n may vary among correlations due to missing data.

[b] Item 35: Principal satisfaction with report form, 4 point scale.
Item 45: Fairness of appraiser's judgement, 3 point scale.
Item 46: Fairness of procedures, 3 point scale.
Item 47: Skilfulness of appraiser, 4 point scale.
Item 48: How seriously principal took appraisal, 3 point scale.
Item 49: How seriously appraiser took appraisal, 3 point scale.

*
** Significant at the .05 level
Significant at the .01 level

Table 66: Relationship of Planning for Evaluation to Effectiveness of Principal Evaluation

Planning for Evaluation	Item	Measures of Effectiveness[a] EFFPR	50	TEAC78	DIR66	No. of Sig. r/ Sign
	n[b]	14	27	28	16	
	Mean	2.21	2.28	1.91	3.25	
	s.d.	.58	.42	.52	.68	
Method of Notification						
In person	56.6% 21.0	-.30	-.27	.39	.37	0
By memo	27.6% 25.8	.20	-.05	.33*	-.46*	2 + 1 -
Visits	36.6% 21.2	.18	.05	.02	.38*	1 + 1 -
Statement on school	58.6% 25.4	.31	-.01	.16	.19	2 -
Pre-evaluation conference						
Conf. held	68.0% 25.8	.00	.23	.01	-.10	2 +
Length	48.6 15.3 min.	-.17	.04	.37*	.20	6 +
Objectives-based						
Utilized	73.2% 30.3	.00	.15	.17	-.14	1 + 1 -

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[a] EFFPR: The effectiveness of principal appraisal as reported by directors on screening questionnaire, 3 point scale.

Item 50: Extent of improvement in principal's performance reported by principals, 4 point scale.

TEAC78: Extent of improvement in principal's performance as reported by teachers, 4 point scale (reversed from questionnaire version).

DIR66: Extent of improvement in principal's performance as reported by directors, 4 point scale.

[b] The n may vary among correlations due to missing data.

* Significant at the .05 level

** Significant at the .01 level

Table 67: Relationship of Purposes and Criteria for Evaluation to Intervening Effects of Principal Evaluation
(n = 27)[a]

		Intervening Effects[b]					
Purposes and	Item	35	45	46	47	48	49
Criteria	Mean	2.89	2.79	2.76	2.99	2.56	2.61
	s.d.	.35	.15	.16	.24	.30	.27
Purposes Clearly Given							
Yes	72.0% 22.0	.64**	.47**	.59**	.64**	.60**	.58**
Criteria Used							
Admin. performance	88.8% 25.8	-.23	.12	-.04	.05	-.03	-.09
School/ community relns.	87.3% 12.7	.25	.28	.42*	.29	-.36*	-.17
Personnel management	82.3% 25.4	.10	.22	.23	.27	-.26	-.09
Contrib. to board	78.8% 16.7	.31	.38*	.16	.08	-.24	-.06
Contrib. to relig. education	33.3 38.3	-.11	.27	.22	.18	-.07	-.22

[a] The n may vary among correlations due to missing data.

[b] Item 35: Principal satisfaction with report form, 4 point scale.
Item 45: Fairness of appraiser's judgement, 3 point scale.
Item 46: Fairness of procedures, 3 point scale.
Item 47: Skilfulness of appraiser, 4 point scale.
Item 48: How seriously principal took appraisal, 3 point scale.
Item 49: How seriously appraiser took appraisal, 3 point scale.

* Significant at the .05 level
** Significant at the .01 level

Table 68: Relationship of Purposes and Criteria for Evaluation to Effectiveness of Principal Evaluation

		Measures of Effectiveness[a]				No. of
Purposes and	Item	EFFPR	50	TEAC78	DIR66	Sig. r/
Criteria	n[b]	14	27	28	16	Sign
	Mean	2.21	2.28	1.91	3.25	
	s.d.	.58	.42	.52	.68	
Purposes Clearly Given						
Yes	72.0% 22.0	-.31	-.05	.15	-.15	6 +
Criteria Used						
Admin. performance	88.8% 25.8	.34	-.25	-.28	.46*	1 +
School/ community relns.	87.3% 12.7	.53	-.23	.17	.51*	2 + 1 -
Personnel management	82.3% 25.4	.40	-.18	.03	.59**	1 +
Contrib. to board	78.8% 16.7	.57*	.05	.15	.68**	3 +
Contrib. to relig. education	33.3 38.3	.26	.26	.03	.26	0

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[a] EFFPR: The effectiveness of principal appraisal as reported by directors on screening questionnaire, 3 point scale.

Item 50: Extent of improvement in principal's performance reported by principals, 4 point scale.

TEAC78: Extent of improvement in principal's performance as reported by teachers, 4 point scale (reversed from questionnaire version).

DIR66: Extent of improvement in principal's performance as reported by directors, 4 point scale.

[b] The n may vary among correlations due to missing data.

* Significant at the .05 level

** Significant at the .01 level

Most of the effects of pre-conferencing are confined to intervening variables. Both the presence of such a conference and its length are related to the principal's satisfaction with the report form and the fairness of procedures; the length of the conference is also related to the principal's views of the fairness of the appraiser's judgement, the appraiser's skill, how seriously the appraiser took the process, and the extent of improvement in the principal's performance as a result of the appraisal as perceived by teachers.

Results concerning purposes and criteria suggest two correlates of an effective appraisal system. Principals' reports that the purposes were clearly given correlate strongly with all intervening effects. Only one of the criterion domains used, the contribution of the principal to the board, appears related to variations in the effectiveness of the process; it correlates positively with one intervening variable (the fairness of the appraiser's judgement) and two measures of effectiveness, the director's report of the effectiveness of the appraisal system as reported both on the screening questionnaire (EFFPR) and in the director's survey questionnaire (DIR66). The last variable, DIR66, is also positively correlated with three other criterion domains: administrative performance, school and community activities, and personnel management. It would appear that directors view as effective those principal appraisal systems that are most comprehensive. Principals' reports of the effectiveness of their appraisal are not significantly correlated with any of the planning variables.

2. Data Collection: The analysis of the possible effects of different sources and types of information used in principal appraisal is reported in tables 69 and 70; that for the effects of different collectors and the time spent on the evaluation process is in tables 71 and 72.

Table 69: Relationship of Sources and Types of Information Used to Intervening Effects of Principal Evaluation
(n = 27)[a]

Sources and Types of Information	Item	Intervening Effects[b] 35	45	46	47	48	49
	Mean	2.89	2.79	2.76	2.99	2.56	2.61
	s.d.	.35	.15	.16	.24	.30	.27
Teachers Provide Information							
Yes	23.9% 26.8	.37*	.09	.16	.33*	-.04	-.08
Types of Information							
Checklist	17.3% 17.2	-.01	.15	-.03	-.22	-.44**	-.23
Specific notes	61.7% 26.7	.19	.20	.15	.47**	.43**	.45**
General notes	59.6% 22.8	.03	.06	.08	.39*	.37*	.35*
Self-eval. question.	19.9% 26.4	-.27	-.05	-.02	-.14	-.16	-.28
Prev. app. report	15.0% 18.6	.10	-.38*	-.15	.02	.09	.08
Disciplinary records	12.9% 14.0	-.17	-.24	-.30	.06	.45**	.34*
School handbook	24.8% 22.9	.14	-.02	-.12	.22	.25	.25
Goal package	70.4% 23.0	.17	-.11	.09	.15	-.28	.01

[a] The n may vary among correlations due to missing data.

[b] Item 35: Principal satisfaction with report form, 4 point scale.
Item 45: Fairness of appraiser's judgement, 3 point scale.
Item 46: Fairness of procedures, 3 point scale.
Item 47: Skilfulness of appraiser, 4 point scale.
Item 48: How seriously principal took appraisal, 3 point scale.
Item 49: How seriously appraiser took appraisal, 3 point scale.

* Significant at the .05 level
** Significant at the .01 level

Table 70: Relationship of Sources and Types of Information Used to Effectiveness of Principal Evaluation

		Measures of Effectiveness[a]				No. of
Planning for	Item	EFFPR	50	TEAC78	DIR66	Sig. r/
Evaluation	n[b]	14	27	28	16	Sign
	Mean	2.21	2.28	1.91	3.25	
	s.d.	.58	.42	.52	.68	
Teachers Provide Information						
Yes	23.9% 26.8	.54*	.29	.30	.07	3 +
Types of Information						
Checklist	17.3% 17.2	-.05	.17	.13	.57**	1 + 1 -
Specific notes	61.7% 26.7	.31	.42*	.08	.40	4 +
General notes	59.6% 22.8	.29	.38*	-.06	.29	4 +
Self-eval. question.	19.9% 26.4	.17	-.17	-.36*	-.41	1 -
Prev. app. report	15.0% 18.6	.29	-.06	.16	.12	1 -
Disciplinary records	12.9% 14.0	.09	.04	-.38*	-.09	2 + 1 -
School handbook	24.8% 22.9	.13	-.19	-.14	.18	0
Goal package	70.4% 23.0	.34	-.04	.28	.16	0

[a] EFFPR: The effectiveness of principal appraisal as reported by directors on screening questionnaire, 3 point scale.
Item 50: Extent of improvement in principal's performance reported by principals, 4 point scale.
TEAC78: Extent of improvement in principal's performance as reported by teachers, 4 point scale (reversed from questionnaire version).
DIR66: Extent of improvement in principal's performance as reported by directors, 4 point scale.

[b] The n may vary among correlations due to missing data.

* Significant at the .05 level
** Significant at the .01 level

One possible information provider is identified in tables 69 and 70, namely, teachers. The extent of their involvement in providing information is positively correlated with two intervening and one final-effect variable, providing some evidence that asking teachers about their principal is a useful component of a principal appraisal system.

General and specific notes taken by the appraisers are the only two types of information that seem consistently related to the effects of the appraisal process. Both are positively correlated with principals' own perceptions of the extent of their improvement as a result of being appraised. In addition, the utilization of student disciplinary records as part of the information base for the appraisal is positively related to how seriously the process is perceived by principals. However, this variable is negatively correlated with the improvement in a principal's performance as perceived by teachers.

The use of one of the most popular types of information, goal packages, is not positively correlated with any of the effectiveness variables; neither is the use of school handbooks. Results for checklists (one positive and one negative) are mixed, though it is perhaps notable that principals in boards using such instruments appear to take evaluation less seriously than do others, while directors in such boards are likely to view their principal appraisal systems as being more effective. As well, use of two types of information that were used less in practice than either principals or directors would prefer -- self-evaluation and use of the previous appraisal report -- each have one negative correlation, suggesting little or no special impact from their use.

Table 71: Relationship of Who Collected Information and Time Spent on Evaluation to Intervening Effects of Principal Evaluation
(n = 27)[a]

Who Collected Information and Time Spent		Intervening Effects[b]					
	Item	35	45	46	47	48	49
	Mean	2.89	2.79	2.76	2.99	2.56	2.61
	s.d.	.35	.15	.16	.24	.30	.27
Team Used							
Yes	4.5% 21.0	.25	.00	-.03	.34*	.21	.20
Individuals Highly Involved							
Teachers	10.4% 17.4	.19	.40*	.66**	.59**	.12	.21
Area Supt.	85.2% 26.1	.22	.10	.09	.18	.07	.00
Other supt.	7.6% 20.7	.08	.06	.03	.29	.20	.14
Number of Days Spent Collecting Information							
Ave. no. of days	3.1 1.1 days	.12	.21	.21	.29	.44*	.32*
Post-evaluation Conference Length							
Length	54.5 23.5 min.	.49**	-.11	.00	.15	.39*	.46**

[a] The n may vary among correlations due to missing data.

[b] Item 35: Principal satisfaction with report form, 4 point scale.
Item 45: Fairness of appraiser's judgement, 3 point scale.
Item 46: Fairness of procedures, 3 point scale.
Item 47: Skilfulness of appraiser, 4 point scale.
Item 48: How seriously principal took appraisal, 3 point scale.
Item 49: How seriously appraiser took appraisal, 3 point scale.

* Significant at the .05 level
** Significant at the .01 level

Table 72: Relationship of Who Collected Information and Time Spent on Evaluation to Effectiveness of Principal Evaluation

Who Collected Information and Time Spent	Item	Measures of Effectiveness[a] EFFPR	50	TEAC78	DIR66	No. of Sig. r/ Sign
	n[b]	14	27	28	16	
	Mean	2.21	2.28	1.91	3.25	
	s.d.	.58	.42	.52	.68	
Team Used						
Yes	4.5% 21.0	.38	-.09	.08	.42*	2 +
Individuals Highly Involved						
Teachers	10.4% 17.4	.30	.21	.22	-.28	3 +
Area Supt.	85.2% 26.1	.39	-.01	.28	-.13	0
Other supt.	7.6% 20.7	.50*	-.13	-.06	.06	1 +
Number of Days Spent Collecting Information						
Ave. no. of days	3.1 1.1 days	.21	.22	.07	.19	2 +
Post-evaluation Conference Length						
Length	54.5 23.5 min.	-.38	.36*	.18	.02	4 +

[a] EFFPR: The effectiveness of principal appraisal as reported by directors on screening questionnaire, 3 point scale.
Item 50: Extent of improvement in principal's performance reported by principals, 4 point scale.
TEAC78: Extent of improvement in principal's performance as reported by teachers, 4 point scale (reversed from questionnaire version).
DIR66: Extent of improvement in principal's performance as reported by directors, 4 point scale.

[b] The n may vary among correlations due to missing data.

*
** Significant at the .05 level
Significant at the .01 level

Tables 71 and 72 reveal more positive effects from characteristics related to the identity of those collecting information and the time they spend doing so. Use of an appraisal team is correlated with the seriousness with which principals take the process and directors' ratings of the amount of improvement that comes about in a principal's performance as a result of appraisal. As well, more involvement of teachers in the entire process (not necessarily just as collectors of information) is positively related to the fairness of the process and the appraiser's judgement, and to the skill with which the evaluation is carried out.

Time, again, proves an important characteristic. The number of days spent collecting information is positively related to how seriously principals take the process and how seriously they perceive it is taken by their appraisers. The length of the post-evaluation conference, if one is held, appears still more important; it is positively related to principals' satisfaction with the appraisal form, seriousness of the process, and principals' ratings of their own improvement.

3. Reporting and Follow-Up: Tables 73 and 74 describe the relationship of reporting and follow-up activities with the perceived effectiveness of various components of principal appraisal schemes.

Table 73: Relationship of Reporting and Follow-Up to Intervening Effects of Principal Evaluation
(n = 27)[a]

		Intervening Effects[b]					
Reporting	Item	35	45	46	47	48	49
and	Mean	2.89	2.79	2.76	2.99	2.56	2.61
Follow-up	s.d.	.35	.15	.16	.24	.30	.27
Post-evaluation Conference							
Yes	84.6% 15.9	.11	-.19	.00	.04	.03	.12
Report Type							
Several headings	39.2% 25.7	-.01	-.13	-.10	.15	.15	.19
Unstructured	18.3% 16.3	.08	.35*	.18	.02	-.15	.01
Rating of activities	6.3% 16.0	-.08	-.01	-.09	-.23	-.40*	-.45*
Summary mark	2.1% 6.9	.01	.03	-.03	-.01	-.28	-.25
No report	32.5% 33.6	-.01	-.03	-.02	.05	.16	.08
Appeal Process							
Yes	30.8% 25.8	.07	.23	.30	.10	-.12	-.24
Follow-up							
Plan developed	29.1 20.9	.54**	.16	.33*	.31	.17	.30
Plan monitored	64.0% 28.0	.05	.01	-.02	.01	.08	.08
Prof. dev.	67.8% 31.6	-.19	-.12	.07	.04	.28	.30
Letter of commend.	16.6 15.9	.11	.05	-.04	.09	-.12	.13

[a] The n may vary among correlations due to missing data.

[b] Item 35: Principal satisfaction with report form, 4 point scale.
Item 45: Fairness of appraiser's judgement, 3 point scale.
Item 46: Fairness of procedures, 3 point scale.
Item 47: Skilfulness of appraiser, 4 point scale.
Item 48: How seriously principal took appraisal, 3 point scale.
Item 49: How seriously appraiser took appraisal, 3 point scale.

* Significant at the .05 level
** Significant at the .01 level

Table 74: Relationship of Reporting and Follow-Up to Effectiveness of Principal Evaluation

Reporting and Follow-up		Measures of Effectiveness[a]				No. of Sig. r/ Sign
	Item	EFFPR	50	TEAC78	DIR66	
	n[b]	14	27	28	16	
	Mean	2.21	2.28	1.91	3.25	
	s.d.	.58	.42	.52	.68	
Post-evaluation Conference						
Yes	84.6% 15.9	.56**	.41*	-.05	-.17	2 +
Report Type						
Several headings	39.2% 25.7	.44	-.23	-.37*	.16	1 -
Unstructured	18.3% 16.3	-.20	-.04	.00	.18	1 +
Rating of activities	6.3% 16.0	.26	-.33	-.15	.32	2 -
Summary mark	2.1% 6.9	.36	-.27	-.29	.27	0
No report document	32.5% 33.6	-.17	.30	.33*	-.15	1 +
Appeal Process						
Yes	30.8% 25.8	.37	-.29	.25	.21	0
Follow-up						
Plan developed	29.1% 20.9	.36	.61*	.36*	-.17	4 +
Plan monitored	64.0% 28.0	-.16	-.29	.28	.03	0
Prof. dev.	67.8% 31.6	-.26	.27	.28	-.15	0
Letter of commend.	16.6% 15.9	-.11	-.20	.12	.15	0

[a] EFFPR: The effectiveness of principal appraisal as reported by directors on screening questionnaire, 3 point scale.
Item 50: Extent of improvement in principal's performance reported by principals, 4 point scale.
TEAC78: Extent of improvement in principal's performance as reported by teachers, 4 point scale (reversed from questionnaire version).
DIR66: Extent of improvement in principal's performance as reported by directors, 4 point scale.

[b] The n may vary among correlations due to missing data.

* Significant at the .05 level
** Significant at the .01 level

At the end of a principal's appraisal, a post-evaluation conference was typically held between the principal and the appraisers. The existence of such a conference is positively related to two of the measures of effectiveness of appraisal systems: the director's rating of the effectiveness of the system as indicated on the screening questionnaire and principals' own self-reports of their improvement as a result of the appraisal. As well, we have already seen that the length of such conferences is important.

The particular form of statement given the principal does not seem to matter: statements under several headings, unstructured statements, and no form at all each display one significant correlation with either intervening or end-result measures of effectiveness. Forms with scale ratings of various activities, however, are negatively correlated with how seriously the evaluation process was looked upon by principals.

The existence of an appeal process is not correlated with any of the variables measuring the effectiveness of the evaluation process, but development of a plan for the improvement of the principal's performance has four significant positive correlations. Among the correlates are satisfaction expressed regarding the report, fairness of the procedures, and amount of improvement made by the principal as perceived both by the principals themselves and their teachers. Whether or not a plan was monitored or specific professional or academic activities were undertaken to assist in implementing the plan were not significant factors; neither was the receipt by the principal of a letter of commendation.

4. Evolution of Policy: Tables 75 and 76 report findings concerning the relationship of the approach taken in developing and implementing an appraisal system to its effectiveness. The first group of items concerns who participated in the development of the policy.

Table 75: Relationship of Evolution and Implementation of Policy to Intervening Effects of Principal Evaluation
(n = 27)[a]

Evolution and Implementation of Policy		Intervening Effects[b]					
	Item	35	45	46	47	48	49
	Mean	2.89	2.79	2.76	2.99	2.56	2.61
	s.d.	.35	.15	.16	.24	.30	.27
Participants in Policy Development							
Trustees	18.2% 14.9	-.16	.31	.38*	.44**	.38*	.32*
Director	73.4% 19.6	.03	-.14	.07	.25	.28	.30
Supt's.	85.2% 26.7	.05	.19	.10	-.23	-.56**	-.52**
Principals	61.1% 34.5	.24	.23	.28	.32*	-.06	.07
Teachers	14.2% 15.0	-.37*	-.10	-.06	.09	.02	.12
Efforts to Implement Policy							
Supporting documents	57.5% 37.1	-.23	.00	-.05*	.04	-.09	-.13
Workshops	57.1% 25.9	-.14**	.25	.46**	.32	-.15	-.11
Resources	39.0% 28.8	-.08	.16	.39*	.37*	.12	.25
Fidelity of Impelementation							
As in policy	25.9% 30.3	.32	.27	.37*	.44**	.24	.29

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[a] The n may vary among correlations due to missing data.

[b] Item 35: Principal satisfaction with report form, 4 point scale.
Item 45: Fairness of appraiser's judgement, 3 point scale.
Item 46: Fairness of procedures, 3 point scale.
Item 47: Skilfulness of appraiser, 4 point scale.
Item 48: How seriously principal took appraisal, 3 point scale.
Item 49: How seriously appraiser took appraisal, 3 point scale.

* Significant at the .05 level
** Significant at the .01 level

Table 76: Relationship of Evolution and Implementation of Policy to Effectiveness of Principal Evaluation

Evolution and Implementation of Policy	Item	Measures of Effectiveness[a] EFFPR	50	TEAC78	DIR66	No. of Sig. r/ Sign
	n[b]	14	27	28	16	
	Mean	2.21	2.28	1.91	3.25	
	s.d.	.58	.42	.52	.68	
Participants in Policy Development						
Trustees	18.2% 14.9	-.56*	-.13	.22	-.08	4 + 1 -
Director	73.4% 19.6	-.18	.32*	-.15	.22	1 +
Supt's.	85.2% 26.7	.13	-.15	.01	.18	2 -
Principals	61.1% 34.5	.07	-.16	-.04	.07	1 +
Teachers	14.2% 15.0	.06	.00	.42*	.21	1 + 1 -
Efforts to Implement Policy						
Supporting documents	57.5% 37.1	-.27	-.28	.56**	.20	1 +
Workshops	57.1% 25.9	-.09	.13	.01	.02	1 +
Resources	39.0% 28.8	-.05	.08	.16	.07	2 +
Fidelity of Impelementation						
As in policy	25.9% 30.3	.68**	.13	.07*	-.24	3 +

[a] EFFPR: The effectiveness of principal appraisal as reported by directors on screening questionnaire, 3 point scale.
Item 50: Extent of improvement in principal's performance reported by principals, 4 point scale.
TEAC78: Extent of improvement in principal's performance as reported by teachers, 4 point scale (reversed from questionnaire version).
DIR66: Extent of improvement in principal's performance as reported by directors, 4 point scale.

[b] The n may vary among correlations due to missing data.

* Significant at the .05 level
** Significant at the .01 level

Involvement of trustees stands out as one group whose participation, though rare (18.2 per cent on average among the boards), is positively correlated to the intervening effects of evaluation (fairness and seriousness), though negatively correlated with one end-result measure. Involvement of superintendents, however, is negatively related to how seriously the appraisal process is taken.

Efforts made to implement the appraisal policy, including documentation, workshops, and devotion of considerable resources, each have one or two positive correlations with the measures of impact. Fidelity of implementation appears more important, having three significant correlations.

Overall, the relationship of the steps taken to develop and implement a policy with the policy's effectiveness is not particularly strong; nevertheless, the data do suggest that a strong commitment, as expressed by the involvement of and resources from those at the top, is important.

5. Demographic Variables: Numerous background variables are correlated with the measures of effectiveness for principal evaluation systems. A few variables suggest a pattern of responses that implies older, experienced male principals, especially in secondary schools, take the process rather less seriously than do others; however, no variable accounts for much variation in the effectiveness of the final results of the process.

The first group of variables reported in tables 77 and 78 involves school system characteristics. There is never more than one significant correlation for any one variable; such evidence suggests school type, enrolment, year in which the policy was adopted, rate of enrolment decline, and percentage of French-language schools in a board are not relevant to the effectiveness of principal evaluation.

Table 77: Relationship of Background Variables to Intervening Effects of Principal Evaluation (n = 27)[a]

Background Variables	Item Mean s.d.	Intervening Effects[b] 35 2.89 .35	 45 2.79 .15	 46 2.76 .16	 47 2.99 .24	 48 2.56 .30	 41 2.61 .27
School System Characteristics							
Type (0 = pub; 1 = sep.)	46.7% 50.7	-.02	.04	.24	.09	-.05	-.05*
1982 enrol.	20,922. 24,906.	.03	.31	.15	.09	-.16	-.10
Year adopt	1978. 3.5	.10	.08	.03	.01	.00	-.06
Rate enrol. decline	2.2% 34.5	-.03	.07	.00	-.04*	-.16	-.26
Percentage Fr. schools	9.4% 16.5	-.18	-.09	-.12	-.20	-.04	-.06
Principal Characteristics							
Average age (10 pt. scale)	5.4 .6	-.06	.27	.06	-.10	-.37*	-.44**
Percentage w/ degree	95.9% 9.6	.32	-.13	-.19	-.44**	-.46**	-.40*
Percentage w/ spec.	71.4% 14.3	-.06	-.37*	-.41*	-.13	.01	.14
Mean yrs. in school	6.1 3.9 years	.04	.02	-.01	.10	.49*	.42*
Mean yrs. in board	18.4 3.2 years	-.17	.14	.06	-.18	-.40*	-.50**
Mean yrs. as a prin.	12.2 2.7 years	.01	-.08	-.14	-.18	-.49*	-.51**
Mean yrs. in educ.	22.6 2.7 years	-.01	.22	.05	-.07	-.33*	-.38*
Percentage males	86.0% 15.3	-.32	-.45*	-.57*	-.47**	-.19	-.20
Percentage perm. appt.	93.9% 6.7	.41*	.14	.17	.19	-.16	-.24

Table 77 (continued)

Background Variables	Item	Intervening Effects[b]					
	Item	35	45	46	47	48	41
	Mean	2.89	2.79	2.76	2.99	2.56	2.61
	s.d.	.35	.15	.16	.24	.30	.27
Percentage time teach.	15.1% 14.9	.19	.22	.22	.26	.26	.37*
School enrolment	392.6 124.5	-.12	.10	-.05	-.10	-.19	-.18
Highest grade	8.0 .8	-.31	-.41*	-.47*	-.40*	-.29	-.29

[a] The n may vary among correlations due to missing data.

[b] Item 35: Principal satisfaction with report form, 4 point scale.

Item 45: Fairness of appraiser's judgement, 3 point scale.
Item 46: Fairness of procedures, 3 point scale.
Item 47: Skilfulness of appraiser, 4 point scale.
Item 48: How seriously principal took appraisal, 3 point scale.
Item 49: How seriously appraiser took appraisal, 3 point scale.

*
** Significant at the .05 level
Significant at the .01 level

Table 78: Relationship of Background Variables to Effectiveness of Principal Evaluation

Background Variables	Item	Measures of Effectiveness[a]				No. of Sig. r/ Sign
	Item	EFFPR	50	TEAC78	DIR66	
	n[b]	14	27	28	16	
	Mean	2.21	2.28	1.91	3.25	
	s.d.	.58	.42	.52	.68	
School System Characteristics						
Type (0 = pub; 1 = sep.)	46.7% 50.7	.04	.14	.32*	-.10	1 +
1982 enrol.	20,922. 24,906.	-.07	-.35*	-.20	.06	1 -

Table 78 (continued)

Background Variables	Item	Measures of Effectiveness[a] EFFPR	50	TEAC78	DIR66	No. of Sig. r/ Sign
	n[b]	14	27	28	16	
	Mean	2.21	2.28	1.91	3.25	
	s.d.	.58	.42	.52	.68	
Year adopt	1978. 3.5	.04	-.22	-.39*	-.11	1 -
Rate enrol. decline	2.2% 34.5	.09	.08	-.28	-.06	0
Percentage Fr. schools	9.4% 16.5	.60**	-.35	-.24	.19	1 +
Principal Characteristics						
Average age (10 pt. scale)	5.4 .6	.24	-.35*	-.29	.28	3 -
Percentage w/ degree	95.9% 9.6	.19	.07	.00	-.16	3 -
Percentage w/ spec.	71.4% 14.3	.00	.02	-.22*	.70**	1 + 2 -
Mean yrs. in school	6.1 3.9 years	-.12	.09	.02	-.31	2 +
Mean yrs. in board	18.4 3.2 years	.18	-.39*	-.42*	.03	4 -
Mean yrs. as a prin.	12.2 2.7 years	-.25	-.14	-.17	.04	2 -
Mean yrs. in educ.	22.6 2.7 years	.04	-.39*	-.30	.26	3 -
Percentage males	86.0% 15.3	-.15	.03	-.22	.40	3 -
Percentage perm. appt.	93.9% 6.7	.24	-.17	.13	-.01	1 +
Percentage time teach.	15.1% 14.9	-.18	.22	.06	-.41	1 +
School enrolment	392.6 124.5	.41	-.38*	-.06	.34	1 -
Highest grade	8.0 .8	.06	.08	-.20	.08	3 -

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[a] EFFPR: The effectiveness of principal appraisal as reported by directors on screening questionnaire, 3 point scale.
Item 50: Extent of improvement in principal's performance reported by principals, 4 point scale.
TEAC78: Extent of improvement in principal's performance as reported by teachers, 4 point scale (reversed from questionnaire version).
DIR66: Extent of improvement in principal's performance as reported by directors, 4 point scale.

[b] The n may vary among correlations due to missing data.

* Significant at the .05 level
** Significant at the .01 level

Principal (and school) characteristics are somewhat more telling. The average age of and percentage of degree holders among a school board's principals are negatively correlated with how seriously appraisal is taken. Average age is negatively correlated with the improvement reported as a result of evaluation. Boards with principals who have been in their school a longer period than average, however, have principals who report taking the process more seriously. Other variables measuring experience have negative relationships, including average number of years with the board, average number of years as a principal, and years of experience as an educator. Percentage of males and highest grade taught also have negative relationships. Variables with only one significant correlation include percentage of principals with permanent contracts, percentage of time the principal spends teaching, and the average size of a school in a board; these three, then, are not important in explaining effectiveness.

Overall, the results of the demographic analysis suggest a pattern also found among teachers, though the pattern seems weaker in the case of principals. That pattern is one in which men, particularly more experienced men with degrees at the secondary level, find the evaluation process to be less helpful than do others.

Performance Appraisal of Superintendents

A sample of 214 superintendents in 28 Ontario boards -- 15 public and 13 Roman Catholic separate -- was asked to reply to the superintendent questionnaire; two boards in the overall sample of 30 did not have superintendents. Completed questionnaires were received from 114 superintendents in 25 boards -- 13 public and 12 separate -- thereby yielding an overall return rate of 53.3 per cent. Regions represented by the responding superintendents are shown in table 79.

Table 79: Distribution of Superintendents by Region and by Type of Board

Region	Public (n=79)		Separate (n=35)		Total (n=114)	
	n	%	n	%	n	%
Northern	4	5.1	5	14.3	9	7.9
Western	9	11.4	2	5.7	11	9.6
Central	49	62.0	25	71.4	74	64.9
Eastern	17	21.5	3	8.6	20	17.5
Total	79	69.3	35	30.7	114	100.0

Seventy-four per cent of the superintendents indicated that their board conducted formal performance appraisals of superintendents. Appraisals were more common for superintendents in public boards (80 per cent) than for those in separate boards (60 per cent). Twelve of the 13 public boards conducted superintendent appraisals while only 5 of the 12 separate school boards did so. Overall, then, 68 per cent of the boards carried out this practice.

For the most part, then, the data reported here relate to those 17 boards carrying out superintendent appraisals. Overall, 72 of the 114 superintendents, or 63 per cent, had been appraised recently. Of these, 57 (79 per cent) were in public boards and 15 (21 per cent) were in separate boards.

Preparation

Preparation for appraisal includes planning, purposes, criteria, and standards as subcategories.

Planning

In the majority of cases (67 per cent), superintendents were notified of a coming evaluation in a request for a statement about their objectives, activities, and plans. Notification in person (35 per cent) or by memorandum (35 per cent) was not unusual, but a request for self-evaluation (18 per cent) or informal visits (19 per cent) was.

Only 35 per cent of the superintendents reported pre-conferences were held between them and their appraiser(s) before the process began; there was little difference between public and separate boards. When conferences were held, they averaged 49 minutes in length (*s.d.* = 26 minutes) and tended to be longer in separate boards (64 minutes) than in public boards (45 minutes).

Sixty-three per cent of the superintendents (74 per cent in separate and 60 per cent in public boards) who had been appraised in recent years reported that the setting of objectives had been a central part of their last evaluation. Of these, 27 per cent reported the objectives focussed on them personally, 14 per cent on their unit as a whole, and 59 per cent on both. The last response was more common in separate boards (73 per cent) than public boards (55 per cent).

Purposes

Two-thirds of the superintendents reported that the purposes of their last appraisal were clearly communicated to them beforehand. These purposes were to: assess the achievement of their objectives, 81 per cent; comply with board policy, 63 per cent; identify administrative weaknesses in need of improvement, 56 per cent; assess achievement of their board's objectives, 51 per cent; identify administrative strengths, 47 per cent; reassure and develop self-confidence, 36 per cent; develop school/community relations, 35 per cent; improve student learning, 28 per cent; clarify superintendents' role, 26 per cent; identify in-service training needs, 25 per cent; and assess effectiveness of instructional program, 24 per cent. The remaining choices in the questionnaire item were checked by 6 per cent or fewer of the respondents: to qualify superintendents for regular increment, to select superintendents for promotion, to recommend renewal of contract, to identify superintendents for transfer, to establish evidence for demotion due to inadequate administrative performance, and to qualify for merit pay.

In effect, the appraisal of superintendents was used exclusively for developmental purposes.

Criteria

The criteria that superintendents indicated were used and which they believed ought always be used are reported in table 80.

Table 80: Actual and Ideal Criteria for Superintendent Appraisal, as Reported by Superintendents

Criterion for Appraisal	Actual (n=72)	Ideal (n=114)
General domains:		
Administrative performance	81.9%	93.8%
School and community relations	52.8	65.7
Program organization	47.2	68.8
Personnel management	76.4	87.4

Table 80 (continued)

Criterion for Appraisal	Actual (n=72)	Ideal (n=114)
Contribution to board	65.3	74.8
Religious education	12.5	23.9
Routine administration of:		
Program	56.9	78.7
Budget	52.8	58.7
Records	44.4	48.5
Facilities	30.6	39.8
Office staff	36.1	43.9
Interpersonal relations with:		
Parents	36.1	44.7
Teachers	43.1	60.4
Principals	72.2	84.4
Other superintendents	68.1	73.0
Trustees	70.8	61.8
Director	68.1	82.9
Federation and union officials	29.8	34.0
Knowledge of:		
Board policies	48.6	74.8
Administrative procedures	52.8	73.2
Relevant acts and regulations	36.1	64.2
Personnel	52.8	65.1
Community	41.7	46.7
Curriculum and program	45.8	67.6
Schools in area of responsibility	63.9	92.5
Skills:		
Management	69.4	90.1
Supervisory	76.4	92.9
Communication	72.2	91.9
Organizing	66.7	87.3
Decision-making	59.7	91.8
Problem-solving	62.5	86.5
Human relations	66.7	90.0
Program evaluation	41.7	70.6
Personnel evaluation	63.9	77.3
Other:		
Achievement of objectives	81.9	88.2
Personality	38.9	35.8

Overall, there is a fair parallel between actual and ideal factors, though the percentages for the latter tend to exceed those for the former quite consistently. With regard to knowledge of board policies and of relevant acts and regulations this difference is considerable, suggesting that these areas may currently receive too little emphasis. Only two criteria appear, in the superintendents' views, to be overemphasized: relations with trustees and the superintendent's personality.

On only one item was there a large difference between public and separate superintendents. Four per cent of the former reported that their contribution to religious education was a criterion used in their last appraisal; none thought it ought to be. In contrast, 47 per cent of the separate school superintendents reported this criterion had been used; 69 per cent thought it ought always to be.

Standards

Standards for performance on the various criteria were most often set by the appraiser (44 per cent), although 22 per cent (26 per cent in public and 7 per cent in separate boards) did not know how they were set. As well, 29 per cent reported that they were set collaboratively, 3 per cent by the appraisee (none in the public and 13 per cent in the separate boards), and 1 per cent by board guidelines.

Data Collection

The data collection phase of performance appraisal is concerned with the sources of information, what types of information are collected, who collects the information, and the time spent in the process.

Sources of Information

Numerous groups were involved in providing information for the appraisal of some superintendents, though two individuals -- the superintendent and the director -- were most likely to do so.

Complete responses to the questions of who does and who ought to provide information are reported in table 81.

Table 81: Actual and Ideal Sources of Information for Superintendent Appraisal, as Reported by Superintendents

Source	Actual (n=72)	Ideal (n=114)
The superintendent being appraised	86.1%	87.7%
Director of education	55.6	87.7
Trustees	26.4	51.8
Other superintendents	15.3	54.4
Principals	9.7	64.0
Teachers	6.9	26.3
Board staff	5.6	28.9
Parents	4.2	5.1
Students	1.4	3.8
Other	4.2	7.0

Trustees were more likely to provide information in public boards (32 per cent) than in separate boards (7 per cent). This was the only difference between these boards that was of consequence.

Overall, it appears that superintendents believe too few sources of information are currently used in their appraisal and that the number of sources should be increased, particularly among professionals within the board.

Types of Information

The actual and ideal types of information superintendents report being used in their performance appraisals are given in table 82.

Table 82: Actual and Ideal Types of Information Used in Superintendent Appraisal, as Reported by Superintendents

Type of Information	Actual (n=72)	Ideal (n=114)
Objectives written by superintendent	84.7%	85.8%
Objectives written by director	27.8	56.5
Objectives written by board	19.4	49.5
Interview by committee	0.0	6.7
Questionnaire completed by principals or other educational staff that the superintendent supervises	1.4	22.2
Self-evaluation questionnaire	2.8	44.1
Written self-evaluation	16.7	41.4
Daily calendar or diary	13.9	11.1
Standardized test scores for students	0.0	0.0
Oral report	37.5	40.4
Reports for which the superintendent had been responsible	38.9	52.3
Written report from previous appraisal	13.9	41.6
Reports on achievement of objectives	44.4	80.6
Results of external assessment of board	0.0	9.7
Goal package the superintendent had prepared for self and unit	31.9	70.9

While superintendents, as has been noted, support the provision of information by others in their appraisal, the specific choices given on the questionnaire apparently did not reflect the types they would prefer. For example, a relatively low percentage support the use of questionnaires completed by subordinates. At the same time, the data suggest that relatively little information of a formal sort is being used in the typical appraisal; only objectives written by the superintendent were used in a majority of the cases.

Preferences also indicate superintendents would appreciate more direction -- and perhaps role clarification -- from their director and school board. Further, they wished to be judged on results, particularly results as reflected in reports that are prepared by themselves in the course of their jobs or that address the achievement of their written objectives.

Collectors of Information

The director is the sole collector of information and the appraiser in virtually all appraisals. Teams are never used. Others may be involved somewhere in the process, though: 44 per cent of the superintendents indicated other superintendents were involved in their last appraisal; 43 per cent reported trustees; 18 per cent principals; and 4 per cent teachers.

Time Spent

Sixty-three per cent of the superintendents reported less than one day had been spent in collecting information for their last appraisal; yet, 17 per cent indicated more than five days were spent. Responses for the remaining 20 per cent were distributed between these extremes, with 10 per cent at one day and 6 per cent at five days. To this item, 25 per cent did not reply, an unusually high non-response rate. Apparently, the process of evaluating a superintendent by a director is very different from that of appraising teachers and principals; it appears to be a process worked into the daily routine rather than an event that takes place at one point in time. This conclusion was confirmed in the case studies.

Reporting and Follow-Up

The nature of the reporting, including any form completed and filed, the sharing of this document, and the steps taken after the completion of a performance appraisal, are the topics of this section.

Nature of Report

Post-conferences, reported by 76 per cent of the superintendents who had had their performances appraised, were more common than were pre-conferences. In the majority of cases (54 per cent), the director was present at the post-conference. In public boards, it was common to have someone else present as well (44 per cent). The questionnaire did not ask who this other person, or persons, might be, but in case studies it was apparent that in larger boards the associate director or senior academic superintendent often played a part in the appraisal of superintendents. On average, the conferences lasted 49 minutes (s.d. = 27 minutes), though they were longer in separate boards (71 minutes) than in public boards (44 minutes).

Assessment of the quality of the post-conference was mixed: 36 per cent reported the conferences were very well planned, 46 per cent fairly well planned, and 18 per cent poorly planned. Free participation by all parties was reported by 86 per cent of the evaluatees; 8 per cent reported both were restrained; 4 per cent that the appraiser was involved and the appraisee was restrained; and 2 per cent that the appraisee was involved and the appraiser restrained. The experience was not at all threatening for 88 per cent of the superintendents while 12 per cent found it somewhat threatening.

Seventy-eight per cent reported sincere praise had been given, 16 per cent found the praise insincere, and no praise was reported by 6 per cent. Constructive criticism was provided in 55 per cent of the cases, no criticism in 24 per cent, partly constructive in 14 per cent, and totally unconstructive in 8 per cent.

After the post-conference, 69 per cent of the superintendents felt good while 26 per cent felt neither good nor bad. Very few felt somewhat negatively (2 per cent) or very uneasy and defensive (4 per cent). All of the latter were in public boards.

Written reports were provided to 64 percent of the superintendents; the practice was more common in public boards (72 per cent) than in separate boards (33 per cent). Twenty-five per cent were very satisfied with the type of the report used and 57 per cent were satisfied. Relatively few were dissatisfied (11 per cent) or very dissatisfied (7 per cent).

Had they been dissatisfied, 31 per cent of the superintendents (35 per cent in public and 13 per cent in separate boards) indicated there was an appeal process to follow. Forty-three per cent indicated there was no such process and 26 per cent were either not sure or did not answer.

Destination of Report

In the vast majority of cases, the superintendent kept a copy of the appraisal report (87 per cent); a copy was usually maintained in the board's offices as well (61 per cent). In 11 per cent of the cases the board's copy would be destroyed after a given number of years.

Report Sharing

Forty-two per cent of the 45 superintendents receiving written reports were required to sign them. They were not asked if the results were shared with trustees, but in several case studies this practice was noted. In other cases, only the individual and the director were privy to the results.

Follow-Up

Just 17 per cent of the superintendents reported that a plan was developed as a follow-up to their appraisal. Of these few, 67 per cent reported the plans were monitored and 92 per cent reported having undertaken academic or professional activities to achieve the goals of the plan.

A few explicit benefits resulted from the appraisal. Twenty-four per cent reported letters of commendation, 1 per cent a merit increment, 6 per cent reappointment to another term, and 22 per cent other benefits. Six per cent reported some type of negative consequence, though none reported two choices suggested on the questionnaire, a salary freeze or being placed under review.

Ten per cent of the superintendents who reported that they had an appeal process open to them filed an appeal. This represented two superintendents, both of whom were with public boards.

Evolution of Policy

The evolution of policy is concerned with how the policy for the appraisal of superintendents was developed, how it was implemented, and its degree of specification.

Implementation

Typically, development of a policy for superintendent appraisal involved the director (88 per cent), superintendents (68 per cent), and, perhaps, trustees (36 per cent). Formal approval was required from various groups and individuals: the entire school board, 52 per cent; a subcommittee of the board, 10 per cent; the director, 54 per cent; a committee of superintendents, 12 per cent; and all superintendents, 19 per cent.

Nineteen per cent of the superintendents were satisfied with the process used to develop the policy, 51 per cent somewhat satisfied, 18 per cent somewhat dissatisfied, and 12 per cent very dissatisfied. The 30 per cent combined rate of dissatisfaction is one of the highest noted in this study.

Directors in 30 per cent of the boards indicated workshops had been held to assist in implementing the policy; half of these indicated they were not thorough.

Degree of Specification

Supporting documents for superintendent policies were available to 44 per cent of the superintendents. Sixty-two per cent of the directors indicated such documents were available in their board.

Superintendents were far more critical of their evaluation policies than were teachers or principals of their own. Fifty-one per cent of the superintendents indicated that the procedures lacked detail; 29 per cent that they were not followed in practice; 19 per cent that they did not ensure fairness; 30 per cent that they did not help clarify roles; 37 per cent that there were inadequate support documents; and 14 per cent that they did not encourage creativity.

Taken together, one would conclude the policies are lacking in specificity.

Impact of Policies and Practice

Impact is considered under three headings: compliance, effort, and the nature and degree of impact. In this instance, it was not possible to investigate which features of the evaluation system correlated with the impact of the system. Only 17 boards carried out formal superintendent appraisals, and we deemed 17 too small a number to make such an analysis practicable.

Degree of Compliance

Both superintendents and directors were asked whether or not practice followed policy. Eighty per cent of the directors and 59 per cent of the superintendents agreed that, for the most part, it did. No directors but 8 per cent of the superintendents felt practice was very different from policy; 33 per cent of the superintendents were not sure, 20 per cent of the directors felt the policy was too new to say. In addition, as noted above, 28 per cent of the superintendents were critical of the degree to which policy had been followed in their own last appraisal.

Extent of Effort

A number of items measured the amount of effort expended in implementing and administering superintendent appraisal policy in a board. The quality and length of post-conferences, noted earlier, are two such measures. Another is the degree of skill shown by the appraiser. Overall, 9 per cent of the superintendents reported their appraisers very skilful and 64 per cent skilful. However, 24 per cent found them not very skilful and 6 per cent not at all skilful.

The directors, who for the most part were responsible for superintendent evaluation, reported they spent about 4 per cent of their time on superintendent appraisal, but felt they ought to spend about 7 per cent. Forty-six per cent placed very high priority on the process and another 46 per cent placed moderate priority on it. It was a low priority for 8 per cent.

Trustees ranked the appraisal of superintendents as a high priority, but placed it after teacher, principal, and co-ordinator evaluation.

Taken together, one would have to conclude that, relative to the appraisal of teachers or principals, a modest to low amount of effort is committed to superintendent appraisal.

Nature and Degree of Impact

Performance appraisal can affect a person's attitudes, knowledge, or behaviour. Various questions assessed the impact of superintendent appraisal on the first and last of these.

We have already noted several of the attitudinal effects, including how superintendents felt at the end of the process -- most felt better, implying the process provided a boost in morale for many. As well, 85 per cent believed that their appraiser's judgement was fair and 80 per cent that the procedures were fair.

As far as their performance was concerned, 9 per cent believed that it had improved a substantial amount, 17 per cent a modest amount, 45 per cent a slight amount, and 30 per cent not at all.

Directors saw somewhat greater effect, 23 per cent reporting substantial improvement in their superintendents, 46 per cent modest improvement, 31 per cent a small improvement, and none no improvement at all. However, only 8 per cent of the directors (all of whom were in separate school boards) reported that their current superintendent appraisal system was very successful in meeting the administrative needs of the board; 92 per cent believed it was somewhat successful. Also, trustees, on a 5-point scale, assigned an average rating of 3.3 to the superintendent appraisal process as far as meeting administrative needs was concerned. This was a higher average rating than was given teacher, principal, or director systems. Their average rating for achieving the developmental needs of individuals was 3.1, about the same as for other evaluation plans.

Performance Appraisal of Directors

The director of education in each of the 30 boards in the sample was sent a director's questionnaire and 26 directors responded, yielding a return rate of 86.7 per cent. Of these, 14 were from public boards and 12 from separate boards. Regions and boards represented by the responding directors are shown in table 83.

Table 83: Distribution of Directors by Region and by Type of Board

Region	Public (n=14)		Separate (n=12)		Total (n=26)	
	n	%	n	%	n	%
Northern	4	28.6	3	25.0	7	26.9
Western	2	14.3	2	16.7	4	15.4
Central	6	42.9	5	41.7	11	42.3
Eastern	2	14.3	2	16.7	4	15.4
Total	14	53.9	12	46.1	26	100.0

Half of the directors indicated that their board conducted a formal performance appraisal of the director. Appraisals were more common for directors in public boards (57 per cent) than in separate boards (42 per cent). For the most part, then, the data reported here relate to those 13 boards carrying out director appraisals.

Preparation

Preparation for appraisal includes planning, purposes, criteria, and standards as subcategories.

Planning

An assortment of methods was used to inform directors of coming appraisals. Notification in person (8 per cent) or by memorandum (15 per cent), an informal visit or discussion (15 per cent), and a request for self-evaluation (15 per cent) were all used, but a request for a statement about objectives, activities, and plans (23 per cent) was the most common single approach. At the same time, 39 per cent noted other methods were used; this category would include those directors who were responsible for initiating the process themselves.

Fifty-four per cent of the directors reported pre-conferences were held between themselves and their appraiser(s) before the process began; there was little difference between public and separate boards. When conferences were held, they averaged 63 minutes in length (s.d. = 30 minutes) and tended to be shorter in separate boards (45 minutes) than in public boards (70 minutes).

Eighty-five per cent of the directors (75 per cent in separate and 89 per cent in public boards) reported that the setting of objectives had been a central part of their last evaluation. Of these, 36 per cent reported that the objectives focussed on them personally, 9 per cent on the board as a whole, and 55 per cent on both. The last response was more common in separate boards (67 per cent) than in public boards (50 per cent).

Trustees were also asked a number of questions concerning the appraisal of directors. Of the 75 trustees returning questionnaires (38 from public and 37 from separate boards), 49 per cent reported their board carried out formal director appraisals. Of the 37 trustees in such boards, 20 had been personally involved in carrying out the last such appraisal. Of these 20, 70 per cent reported that the appraisal had been based on the achievement of objectives. Fifty-seven per cent indicated the objectives focussed on both the director personally and the board as a whole, 21 per cent indicated only a personal focus, and the remaining 21 per cent only the school board as a whole.

Purposes

Fifty-eight per cent of the directors reported that the purposes of their last performance appraisal were clearly communicated to them beforehand. These purposes were to: assess the achievement of their objectives, 69 per cent; comply with board policy, 54 per cent; identify administrative strengths, 54 per cent; assess achievement of the board's objectives, 54 per cent; develop school/community relations, 46 per cent; identify administrative weaknesses in need of improvement, 39 per cent; clarify the director's role, 39 per cent; assess and improve curriculum, 31 per cent; reassure and develop self-confidence, 23 per cent; improve student learning, 23 per cent; identify in-service training needs, 23 per cent; assess effectiveness of instructional program, 24 per cent. The remaining choices in the questionnaire item were checked by 15 per cent or fewer of the respondents: to qualify the director for regular increment (15 per cent), to assess the effectiveness of the instructional program (15 per cent), to recommend renewal of contract (8 per cent), to establish evidence for demotion due to inadequate administrative performance (8 per cent), and to qualify for merit pay (8 per cent).

The trustees' responses followed a similar pattern, though percentages were somewhat higher. The top six purposes were to: assess achievement of the director's objectives (90 per cent), assess achievement of the board's objectives (75 per cent), comply with board policy (70 per cent), improve student learning (65 per cent), develop school and community relations (65 per cent), and identify administrative weaknesses in need of improvement (65 per cent). The bottom three were to: qualify the director for merit pay (10 per cent), establish evidence for demotion due to inadequate performance (10 per cent), and qualify the director for a regular increment (15 per cent).

In effect, the appraisal of directors was used almost exclusively for developmental purposes.

Criteria

The criteria that directors indicated were used and which they and trustees believe ought always be used are reported in table 84.

Table 84: Actual and Ideal Criteria Used in Director Appraisal, as Reported by Directors and Trustees

Criterion for Appraisal	Directors		Trustees
	Actual (n=13)	Ideal (n=26)	Ideal (n=25)
General domains:			
Administrative performance	76.9%	88.0%	94.4%
School and community relations	53.8	69.2	72.9
Program organization	53.8	56.0	68.6
Personnel management	76.9	65.4	82.9
Contribution to board	76.9	92.3	76.8
Religious education	23.1	33.3	50.0
Routine administration of:			
Program	53.8	46.2	62.9
Budget	53.8	46.2	56.3
Records	23.1	16.7	35.3
Facilities	23.1	12.5	26.5
Office staff	7.7	25.0	31.9

Table 84 (continued)

Criterion for Appraisal	Directors Actual (n=13)	Directors Ideal (n=26)	Trustees Ideal (n=25)
Interpersonal relations with:			
Parents	46.2	44.0	59.4
Teachers	46.2	60.4	65.2
Principals	46.2	73.1	76.1
Superintendents	61.5	73.1	81.2
Trustees	76.9	72.0	80.0
Federation and union officials	46.2	40.0	52.9
Knowledge of:			
Board policies	53.8	80.8	87.3
Administrative procedures	38.5	72.0	81.4
Relevant acts and regulations	46.2	58.3	82.6
Personnel	30.8	56.0	68.1
Community	53.8	52.0	62.9
Curriculum and program	38.5	40.0	77.5
Schools in board	38.5	68.0	82.9
Skills:			
Management	69.2	88.5	87.3
Supervisory	76.9	84.6	91.0
Communication	76.9	92.3	82.9
Organizing	61.5	84.6	77.1
Decision-making	69.2	88.5	90.0
Problem-solving	61.5	88.5	82.9
Human relations	53.8	88.5	76.8
Program evaluation	30.8	50.0	67.1
Personnel evaluation	76.9	69.2	70.0
Other:			
Achievement of objectives	61.5	88.5	82.9
Personality	22.2	44.0	39.4

Overall, there is a fair parallel between actual and ideal factors. As well, trustees and directors appear to agree on certain areas that may be underemphasized at present, such as the director's knowledge of and relations with those in the schools. One gets the sense that both parties feel that, at present, director evaluation is too much directed at the director's role within the board offices and not sufficiently concerned with what transpires within the schools.

On only one item was there a large difference between public and separate school directors. None of the former reported that their contribution to religious education was a criterion in their last appraisal; none thought it ought to be. In contrast, 75 per cent of the latter reported this criterion had been used, and 67 per cent thought it ought always to be. Trustees' views were similarly differentiated. A bare 7 per cent of public board trustees thought the director's contribution to religious education ought always to be a factor, while 89 per cent of the separate school trustees thought it should be.

Standards

Standards for performance on the various criteria were most often set collaboratively (42 per cent), although 17 per cent indicated they were set by themselves and 8 per cent by their appraisers. As well, one-third of the directors (all of whom were in public boards) did not know how they were set.

Data Collection

The data collection phase of performance appraisal is concerned with who provides information, what types of information are collected, who collects the information, and the time spent in the process.

Sources of Information

The director and trustees were most likely to provide information for a director's appraisal; 92 per cent of the directors had done so in their last appraisal as had the trustees for 23 per cent of them. Ninety-six per cent of the directors believed both the director and the trustees ought to provide information. As well, 39 per cent believed superintendents and principals ought to do so. Other groups some directors thought should be involved included teachers (23 per cent), board staff (27 per cent), and parents (8 per cent).

Overall, it appears that directors believe too few sources of information are currently used in their appraisal, and that the number should be increased, particularly among professionals within the board.

Types of Information

The types of information directors and trustees report being used in director appraisal and the types they believe always ought to be used are reported in table 85.

Table 85: Actual and Ideal Types of Information Used in Director Appraisal, as Reported by Directors and Trustees

	Directors		Trustees	
Type of Information	Actual (n=13)	Ideal (n=26)	Actual (n=20)	Ideal (n=75)
Objectives written by director	84.6%	92.3%	85.0%	73.9%
Objectives written by board	23.1	84.0	45.0	71.0
Interview by committee	55.6	45.8	50.0	46.4
Questionnaire completed by superintendents or other educational staff supervised	7.7	8.7	5.0	23.4
Self-evaluation questionnaire	7.7	42.3	0.0	38.1
Written self-evaluation	15.4	33.3	20.0	38.5
Daily calendar or diary	15.4	9.5	0.0	19.0
Standardized test scores for students	0.0	0.0	0.0	13.1
Oral report	61.5	30.4	30.0	37.3
Reports for which the director had been responsible	46.2	40.0	30.0	50.0
Report from previous appraisal	30.8	54.2	25.0	50.0
Reports on achievement of objectives	53.8	88.0	55.0	80.3
Results of external assessment of board	0.0	34.8	5.0	33.9
Goal package the director had prepared for self and board	61.5	70.8	50.0	59.7

The data suggest that a relatively broad array of information is currently used in the assessment of directors, including lists of objectives, interviews, oral reports, and reports on the achievement of objectives. At the same time, both directors and trustees appear to agree that the data base should be increased to include, on a more regular basis, objectives written by the board, self-evaluation by the directors, and written reports from previous appraisals.

The results parallel, to a degree, those for superintendents in that a desire is implied for more direction -- and perhaps role clarification -- from their board. Then, directors wish to be judged on results, particularly results as reflected in reports that address the achievement of their written objectives.

Collectors of Information

The director and the trustees were the sole collectors of information for the appraisal of all the directors in the sample. In 73 per cent of the cases, the appraisal was carried out by a team of trustees. Through interviews we learned that in some cases the appraisals were conducted by the entire board.

The only other party ever involved in some way in the process of appraising directors was the superintendent, who participated in only 23 per cent of the appraisals.

Time Spent

Seventy-five per cent of the directors reported less than one day had been spent in collecting information for their last appraisal; yet, 17 per cent indicated more than five days were spent. The remaining 8 per cent indicated one day was spent. Apparently, the process of evaluating a director by a team of trustees is very different from the appraisals carried out for teachers and principals. In interviews it became clear that many directors were the force behind their own appraisal and that they linked the process to the setting and meeting of objectives for the board as a whole.

Reporting and Follow-Up

The nature of the reporting, including any form completed and filed, the sharing of this document, and the steps taken after the completion of a performance appraisal, are the topics of this section.

Nature of Report

Post-conferences, reported by 54 per cent of the directors, were as common as pre-conferences. They were not held for half of the directors of public boards, but were held for all directors of separate boards. Fifteen per cent of the directors did not answer this question.

In the majority of cases (86 per cent), a subcommittee of trustees was present with the director at the post-conference. Twenty-nine per cent of the directors reported all trustees were present. In public boards, someone else may have been present; the questionnaire did not ask who this other person, or persons, might be. On average, the conferences lasted 74 minutes (s.d. = 25 minutes); there was little difference between separate and public boards. Reports of trustees as to the length of these conferences agreed with those of the directors.

Assessment by directors of the quality of the post-conference was mixed: 14 per cent reported that it was very well planned, 71 per cent fairly well planned, and 14 per cent poorly planned. Free participation by all parties was reported by 57 per cent of the evaluatees; 14 per cent reported both were restrained; 14 per cent that the appraiser was involved and the appraisee was restrained; and 14 per cent that the appraisee was involved and the appraiser restrained. The experience was not at all threatening for 86 per cent of the directors while 14 per cent found it somewhat threatening.

Trustees had somewhat different perceptions: 46 per cent reported very well planned post-appraisal conferences, 46 per cent fairly well planned, and 9 per cent poorly planned. All believed there was free and open participation by both parties.

Directors' assessment of post-conferences was provided by only seven directors, four public and three separate. The small number of responses comes from the small number of directors for whom such conferences were held. At any rate, four directors reported sincere praise had been given during the conference; three reported no praise was given. Praise was reported by all separate school directors but by only one of the public school directors. Constructive criticism was provided in three cases, partly constructive in three, and no criticism in one. All separate school directors reported all criticism was constructive; no public school directors did so (three reported it partly constructive and one said none was given).

After the post-conference, two of the directors felt good and four felt neither good nor bad. One felt somewhat negatively. Two of the separate school directors felt good, but none of the public school directors reacted in this way.

Written reports were provided to 39 per cent of the directors appraised; 54 per cent reported that they were not provided, and 8 per cent did not respond. All were satisfied with the type of the report used; none were dissatisfied and none were very satisfied. Thirty per cent of the trustees were very satisfied, though, and another 50 per cent were satisfied. Twenty per cent of the trustees reported being very dissatisfied.

Destination of Report

In the majority of cases, the director kept a copy of the appraisal report (60 per cent); a copy was usually maintained in the board's offices as well (60 per cent). In 20 per cent of the cases the board's copy would be destroyed after a given number of years.

Report Sharing

Directors were asked if they were required to sign their report; only four directors responded, with just one stating there was such a requirement. These numbers were so small since only five of the 13 directors who had been appraised recently had written reports in the first place. Directors were not asked specifically if the results were shared with all trustees, but, since the appraisals were typically carried out by a team of trustees, this would probably have been the case in most instances.

Follow-Up

Just one director reported that a plan was developed as a follow-up to appraisal. This director indicated that the plan was not monitored and that no academic or professional activities were undertaken to achieve the goals of the plan. This absence of plans was confirmed by trustees.

A few explicit benefits resulted from the appraisal. Two directors reported receiving a merit increment and four other benefits. None reported any negative consequences.

Two directors reported that they had an appeal process open to them and seven that they did not; four did not respond. Neither director with the option available chose to appeal.

Evolution of Policy

The evolution of policy is concerned with how the policy for the appraisal of directors was developed, how it was implemented, and its degree of specification.

Implementation

Typically, development of a policy for the performance appraisal of a director involved the director (92 per cent) and trustees (92 per cent). Formal approval was usually required from the entire school board (77 per cent), often with the director's consent also being required (31 per cent).

Forty-two per cent of the directors were satisfied with the process used to develop the policy, 39 per cent somewhat satisfied, 8 per cent somewhat dissatisfied, and 8 per cent very dissatisfied.

Trustee reports of the development of policies for director appraisal were somewhat different. In addition to involvement of trustees (92 per cent) and the director (62 per cent), 8 per cent reported involvement of superintendents and 11 per cent outside consultants.

Forty-two per cent of the trustees were very satisfied with the process used and 33 per cent somewhat satisfied; 11 per cent and 14 per cent were, respectively, somewhat dissatisfied and very dissatisfied.

Degree of Specification

Sixty-two per cent of the directors reported that their appraisal policy was a public document approved by the board; only 8 per cent reported it was part of a confidential document. Thirty-one per cent checked "other".

Both directors (39 per cent) and trustees (35 per cent) were critical of the lack of detail in the director policy in their board. A significant number of the directors (23 per cent) also felt the procedures did not ensure fairness. Trustees were likely to report that supporting documents were inadequate (16 per cent).

Impact of Policies and Practice

Impact is considered under three headings: compliance, effort, and the nature and degree of impact. In this instance, it was not possible to investigate which features of different evaluation systems correlated with the impact of the system. Only 13 boards carried out formal director appraisals, and we deemed 13 too small a number to make such an analysis practicable.

Degree of Compliance

Both directors and trustees were asked whether or not practice followed policy. Thirty-nine per cent of the directors indicated practice was as described in policy and another 39 per cent approximately as described; 23 per cent were not sure. Fifty-seven per cent of the trustees believed policy was followed; 26 per cent believed practice was approximately as in policy; and 3 per cent felt it was very different. Fourteen per cent were not sure.

Extent of Effort

A number of items measured the amount of effort expended in implementing and administering appraisal policies for directors. The quality and length of the post-conference, noted earlier, are two such measures. Another is the degree of skill shown by the appraisers. No directors reported that their appraisers were very skilful and just 20 per cent reported that they were skilful. The majority, 70 per cent, found them not very skilful and 10 per cent not at all skilful.

In spite of their relative lack of skill, trustees apparently took the process seriously. Forty-six per cent of the directors reported that the trustees carrying out the appraisal were very serious; the balance, 54 per cent, saw them as being somewhat serious. Trustees responses were: very seriously, 74 per cent; somewhat seriously, 16 per cent; not seriously at all, 5 per cent; not sure, 5 per cent. As well, on a 5-point scale, trustees rated the evaluation of the director as having high importance, 4.3. Still, this was the lowest ranking given any category of staff.

Taken together, one would have to conclude that, relative to the appraisal of teachers or principals, a modest to low amount of effort is committed to the appraisal of directors.

Nature and Degree of Impact

Performance appraisal can affect a person's attitudes, knowledge, or behaviour. Various questions assessed the impact of director appraisal on the first and last of these.

Already noted have been several of the attitudinal effects, including how directors felt at the end of the process -- most felt neither better nor worse, implying the process had little effect on their attitudes toward their jobs. Although it did not boost their morale, it did not weaken it. At the same time, 80 per cent of the directors felt the judgement of their appraisers and the procedures were fair.

As far as their performance was concerned, none of the directors reported substantial improvement, 44 per cent modest improvement, 33 per cent slight improvement, and 22 per cent none at all. Trustees' responses were slightly less positive, 23 per cent reporting modest improvement in their director's performance, 46 per cent slight improvement, and 31 per cent none at all.

Also, trustees, on a 5-point scale, assigned an average rating of 3.1 to the process of appraising the director as far as meeting administrative needs was concerned. This was a lower average than was given principal or superintendent appraisal systems but was higher than the 3.0 average given teacher systems. The trustees' average rating for achieving the developmental needs of individuals was 3.0 for the director's appraisal, which was the lowest rating of all the appraisal systems.

Demographic Profile of ELS Respondents

Table 86 provides the age distribution of the respondents by the role of the respondent. As one would expect, age tends to increase with the level of the position. Trustees' ages, however, reveal somewhat greater variability than do the ages of professionals within the system. Not reflected in the table are differences between public and separate schools. Staff in the latter are, on average, somewhat younger. For example, 23 per cent of the separate school teachers are 30 or under as compared with only 12 per cent of public school teachers. Similarly, 10 per cent of the separate school principals are 35 or under as compared with 2 per cent of public elementary school principals.

Table 86: Age Distribution by Role of Respondent

Age in Years	Teacher (n=4040)	Principals (n=876)	Supt's. (n=113)	Directors (n=26)	Trustees (n=75)
20 to 25	3.2%	0.0	0.0	0.0	0.0
26 to 30	12.5	0.3	0.0	0.0	1.3
31 to 35	24.7	4.5	2.7	0.0	12.0
36 to 40	23.7	15.9	7.1	3.8	10.7
41 to 45	15.0	33.7	19.5	11.5	24.0
46 to 50	9.2	19.9	30.1	26.9	14.7
51 to 55	6.9	18.2	23.9	46.2	20.0
56 to 60	3.3	6.7	15.0	7.7	6.7
61 to 65	1.4	0.9	1.8	3.8	8.0
over 65	0.0	0.0	0.0	0.0	2.7

The trustees responding had an average of 7.5 years of experience as a trustee. The separate school board members were slightly more experienced, averaging eight years, than were public board trustees, who averaged seven years. No other information was collected about trustees.

The teachers in the sample were distributed as follows: classroom teacher, 70 per cent; department head in secondary or junior high school, 9 per cent (24 per cent among secondary respondents); elementary specialist teacher, 13 per cent (20 per cent among elementary respondents); vice-principal with teaching responsibilities, 1 per cent; counsellor with teaching responsibilities, 1 per cent; and other, 5 per cent. Forty-five per cent of the teachers taught all subjects, 53 per cent specialized, and 3 per cent checked other. Specialization was, as would be expected, most common at the secondary level, where 94 per cent of the teachers indicated they did so; at the elementary level, only 30 per cent of the teachers did so.

Distribution of principals was half in public elementary schools, 12 per cent in secondary schools, and 37 per cent in separate schools.

Thirty-seven per cent of the superintendents were classed simply as "superintendent", while 28 per cent were area superintendents, 6 per cent assistant superintendents, 6 per cent superintendents of program, 3 per cent superintendents of personnel, 6 per cent superintendents of business, 5 per cent assistant or associate directors, and 9 per cent "other" superintendents.

Table 87 reports the academic qualifications of the teachers, principals, superintendents, and directors.

Table 87: Highest Academic Qualification of Respondents by Role of Respondent

Highest Qualification	Teachers (n=4028)	Principals (n=878)	Supt's. (n=113)	Directors (n=26)
Teachers' college, no degree	19.4%	1.0%	0.9%	0.0%
B.A. or B.Sc.	59.7	29.5	14.2	19.2
M.Ed., M.A., M.Sc. M.B.A.	12.7	67.5	76.1	73.1
Ed.D. or Ph.D.	0.4	0.5	3.5	7.7
Other	7.7	1.5	5.3	0.0

Teachers without degrees were concentrated at the elementary level, where 26 per cent of the teachers were in this category; only 8 per cent of the secondary teachers were without degrees.

Among all teachers, 77 per cent reported specialized, rather than general, bachelor's degrees. The percentage was higher among secondary (84 per cent) than among elementary (71 per cent) teachers. Specialized degrees were also reported by 68 per cent of the principals (87 per cent at the secondary and 66 per cent at the elementary level), 72 per cent of the superintendents, and 50 per cent of the directors. General bachelor's degrees were much more common among separate school directors (75 per cent) than among public school directors (29 per cent).

The years of experience of the various groups of educators are reported in table 88.

Table 88: Experience of Respondents by Role of Respondent

Experience	Teachers (n=4022)	Principals (n=874)	Supt's. (n=112)	Directors (n=26)
Years in position	7.41	4.61	6.09	6.85
Years in role	13.80	12.41	7.93	---
Years in board	11.44	18.96	16.18	11.96
Years as educator	13.80	23.48	25.68	29.04

Variations in experience do occur among different types of school. For example, secondary teachers report an average of 9.8 years in their present school, public elementary teachers 6.7 years, and separate elementary teachers 5.4 years. Overall, teachers in public boards of education report 11.9 years of experience while those in separate boards report 10.2 years. Principals in public boards averaged 20.7 years (elementary) and 19.3 years (secondary), whereas separate school principals averaged 16.6 years. Public board directors also have, on average, more experience in their boards (13.6 years) than do separate school directors (9.4 years); the same holds for superintendents (26.4 years vs. 24.1 years). Yet, public superintendents tend to be newer to their positions (7.4 years) than is the case in separate schools (9.2 years). All these age differences can be explained by the different timing of growth in public and separate school enrolments. The latter have increased enrolment more recently and have generally experienced less enrolment decline. Hence, their staffs tend to be younger, with administrative promotion also occurring at a younger age. Finally, it is worth noting that the decline in average experience within a school board associated with superintendents and, particularly, directors reflects movement between boards of officials at these levels.

Overall, 40.3 per cent of the teachers were male. In public elementary schools the percentage was 26.8, in secondary 65.7, and in separate 25.4. In addition, 87.7 per cent of the principals were male -- in public elementary, 91.2 per cent, in secondary, 98.1 per cent, and in separate, 79.4 per cent. Among superintendents, 96.5 per cent were male. All separate school superintendents were men, as were 94.9 per cent of those in public boards. All of the directors were men.

Permanent contracts were held by 92.5 per cent of the teachers; 6.2 per cent had probationary contracts (9.6 per cent in separate and 5 per cent in public schools); 0.1 per cent had letters of standing; and 1.2 per cent other forms of contracts.

The vast majority (93.6 per cent) of the principals had permanent appointments. As well, 2.3 per cent had probationary appointments to the position, 0.8 per cent were acting principals, 2.5 per cent held term appointments, and 0.8 per cent had some other arrangement.

Term contracts were more prevalent at the higher levels. Of the superintendents, 81.4 per cent had permanent appointments and 15.9 per cent term contracts, with 2.7 per cent reporting "other". Of the directors, 69.2 per cent had permanent appointments and 23.1 per cent term contracts, including 35.7 per cent of those in public boards. As well, one director (3.8 per cent) reported a probationary contract and one director indicated "other".

The average size of school reported by principals was 345 for public elementary, 410 for separate, and 945 for public secondary schools. The average amount of time spent teaching by principals was 12 per cent; it ranged from 2 per cent at the secondary level to 14 per cent in public elementary schools.

Superintendents on average supervised eight office staff, 19 principals, 395 teachers, four assistant administrative staff, and four others. The average number of schools supervised was 20; the average was higher in public boards (25) than in separate boards (12), a difference no doubt explained by the larger sizes of public boards.

Directors on average were responsible for 32 office staff, five superintendents, three assistant administrative staff, and 60 others.

The percentages of the four groups that had experienced performance appraisals are reported in table 89.

Table 89: Appraisals of Respondents by Year and by Role of Respondent

Year	Teachers (n=4082)	Principals (n=879)	Supt's. (n=114)	Directors (n=26)
1982-83	35.6%	31.7%	25.4%	34.6%
1981-82	24.6	18.7	35.1	11.5
1980-81	12.9	7.3	1.8	0.0
1979-80	6.7	5.6	0.9	3.8
1978-79 or before	12.7	11.3	2.6	7.7
Have not been formally evaluated	5.2	23.9	33.3	42.3
Not answered	2.3	1.6	0.9	0.0

The data in table 89 suggest, as did the detailed review of the questionnaire results, that formal performance appraisal is most common at the classroom level and least common at the director's level. As well, the data suggest a trend to more evaluation in recent years, though those who had been more recently appraised may have been more likely to return questionnaires.

Directors were asked if statistics were kept on teachers' ratings as established by formal evaluations. One director (3.8 per cent) answered affirmatively; the remainder indicated that none were maintained or that the question was not applicable.

Terminations and Grievances

Some quantitative data were collected from directors concerning the numbers of staff who had been placed under review, were dismissed, or who filed some type of action (appeal, grievance, or lawsuit) against the board as a result of performance appraisals. Their responses are summarized in tables 90 to 92.

Table 90: Means and Standard Deviations of Staff Under Review Between September 1981 and May 1983 by Staff Category and by Type of Board, as Reported by Directors

Staff Category	Public (n=14)	Separate (n=12)	Total (n=26)
Teachers	5.67 (5.03)	4.42 (4.42)	5.04 (5.21)
Principals	1.77 (1.09)	0.60 (0.84)	1.26 (1.14)
Superintendents	0.17 (0.39)	0.00 (0.00)	0.10 (0.30)
Other	1.14 (2.19)	1.29 (2.14)	1.21 (2.08)

[a] Standard deviation in parentheses.

Table 91: Means and Standard Deviations of Staff Terminated for Unsatisfactory Performance Between September 1981 and May 1983 by Staff Category and by Type of Board, as Reported by Directors

Staff Category	Public (n=14)	Separate (n=12)	Total (n=26)
Teachers	3.75 (4.56)	1.75 (1.14)	2.75 (3.40)
Principals	0.58 (0.79)	0.00 (0.00)	0.33 (0.66)
Superintendents	0.00 (0.00)	0.00 (0.00)	0.00 (0.00)

[a] Standard deviation in parentheses.

Table 92: Means and Standard Deviations of Actions Filed Against Boards Between September 1981 and May 1983 by Type of Action and by Type of Board, as Reported by Directors

Type of Action	Public (n=14)	Separate (n=12)	Total (n=26)
Appeals	0.58 (0.79)	0.78 (1.99)	0.67 (1.39)
Grievances	0.33 (0.89)	0.56 (1.33)	0.43 (1.08)
Lawsuits	0.17 (0.39)	0.20 (0.42)	0.18 (0.18)

[a] Standard deviation in parentheses.

All the averages in tables 90 to 92 are quite low. It appears that, in a typical school board, between one and two teachers are placed under review in a given year. On average, placing a principal under review occurs once in two years. Negative ratings of superintendents are virtually non-existent. Terminations as a result of unsatisfactory performance are also rare, occurring about once per year in a typical board for teachers, and once in five to 10 years for principals. Appeals, grievances, and lawsuits as a result of performance appraisals appear to occur in the typical board with a frequency of once every five years in the first instance to once in 15 years in the last instance, assuming a uniform distribution.

It was not clear whether the number of staff placed under review, dismissed, or who filed appeals, grievances, and lawsuits, were hallmarks of an effective or ineffective evaluation system. One could argue a good system would result in the review and dismissal of more ineffective staff members or one could claim an effective system would help staff improve and would therefore result in fewer such actions.

To shed light on this issue, the numbers of teachers who had (1) been placed under review, (2) been dismissed, (3) filed appeals, (4) filed grievances, and (5) filed lawsuits were correlated on a board by board basis with each of the variables treated in the analysis of the effects of different evaluation policies. This analysis was conducted only for teachers since only for them was the frequency of such events considered sufficient for statistical analysis. Correlations were considered significant if the p value was less than or equal to 0.02.

Of all correlations, the highest were between the number of appeals and grievances filed and the presence of a formal system to review the appraisal policy; the correlations were 0.71 and 0.72, respectively. We take this relationship to mean that boards which had suffered these problems instituted formal reviews of their evaluation policies in order to determine what problems were behind the large number of actions being filed.

Most other significant correlations were negative; for example, the number of staff placed under review had the following correlations: with the percentage of teachers who had read the evaluation documents, -0.42; with the percentage of teachers reporting students had provided information, -0.47; with the extent teachers see the evaluation system achieving its goals, -0.47; with a final post-evaluation conference, -0.50; with development of a plan, -0.59; and with how seriously their evaluator had taken the process, -0.60. We take these correlations to mean that fewer teachers are placed under review when evaluation systems are most effective at achieving their goals, and especially their developmental goals.

The number of teachers dismissed also had negative correlations with a number of appraisal characteristics: with the extent of principal involvement in their last appraisal, -0.52; with development of a plan, -0.47; with how seriously their appraiser took the process, -0.51. As well, the number of appeals and grievances had correlations of -0.48 and -0.44 with the number of post-observation conferences.

There were only two significant correlations between any of these variables and the demographic variables: the percentage of teachers placed under review was positively correlated with the average number of years teachers had been in the board, and the number of lawsuits filed was positively correlated with the percentage of teachers on probation. The number of lawsuits, incidentally, was negatively correlated with the rate of enrolment decline in a board, meaning that they were more likely in growing or stable boards than in those where enrolment was declining. This is consistent with the positive correlation with the percentage of probationary teachers.

In conclusion, it appears that actions of the sort reported in tables 90 to 92 are associated with poor appraisal systems; good appraisal systems apparently resolve problems raised by poor performance, improving the performance of teachers or providing them with sufficient valid and reliable information to convince them that an alternative career would be more suitable.

Summary

The purpose of this summary is to bring together and compare information concerning the different phases of the performance appraisal systems as they apply to teachers, principals, superintendents, and directors.

Preparation

Planning for evaluation varied considerably among the four groups. It was most thorough with the principals, most of whom were personally informed of the impending evaluation and had lengthy pre-conferences with their appraisers to review the process, critieria, and purposes of their appraisal. As well, most were asked to provide a statement about their school, and worked with their appraisers to set objectives for themselves and their school whose achievement could be assessed in the appraisal. While most teachers were also informed of coming evaluations personally, superintendents were not, and both of these groups were far less likely to report having had pre-conferences. Teachers were far less likely to have been involved in setting objectives than were principals or superintendents. When objectives were set for teachers, however, they tended to be set collaboratively and focussed on overall performance, not just their work in the classroom. For directors, notification might come in any one of several ways, but many apparently initiated the process themselves. Pre-conferences were common, but by no means universal, for directors and objective-setting was the norm.

In the analyses of the impact of various appraisal practices carried out for teachers and principals (there were insufficient data to conduct similar analyses for superintendents and directors), the holding of pre-conferences, the length of pre-conferences, and the use of objective-setting were strongly related to positive results of evaluation. At the same time, the lack of these practices was evident in the appraisal of superintendents, the group which reported the least satisfying and least effective appraisal experiences.

The purposes of evaluation reported by all four groups were concerned with developmental rather than administrative needs. Developmental needs include matters such as the improvement of staff performance and the improvement of the educational program while administrative needs include the identification of individuals for promotion, demotion, and merit pay. As well, all groups supported the emphasis on developmental purposes. When asked if they believed separate administrative and developmental appraisal systems for teachers should be used, all groups were rather evenly split; many were not certain such a separation was feasible.

A few administrative uses of appraisal were reported, though these were expected. Among teachers, use of evaluation to make recommendations for permanent contracts was universal. Among administrators, and particularly among superintendents and directors, use of performance appraisal to assess their achievement of objectives was the norm.

Over two-thirds of all groups except the directors reported that the purposes of their last appraisal had been clearly communicated to them. In analyses relating the method of appraisal to the effectiveness of appraisal, clear communication of the purposes of evaluation stood out as a variable of exceptional importance.

Criteria used in appraisal reflect the expectations evaluatees and evaluators have for a given role. In effect, criteria provide a job description. Overall, there was a high degree of consensus concerning criteria at all levels, i.e., evaluators and evaluatees generally agreed on what criteria were used in practice and on what ought to be used.

However, it is still worth noting where minor divergences in opinion occurred. Classroom teachers, for one, would like less emphasis placed on their out-of-classroom activities than is the case at present, while their evaluators feel that a broader conception of the role, including such matters as community/school relations, is important. For themselves, principals would like to see less emphasis on their role as disciplinarian while teachers would like more of this emphasis. Also, principals believe a slight increase in emphasis on their role in program development would be appropriate, while superintendents would prefer a moderate increase -- and teachers a moderate decrease -- in this emphasis.

Superintendents, though generally supportive of the criteria used in their appraisal, believed that more emphasis should be placed on their knowledge of board policies and relevant acts and regulations. For directors, trustees and directors concurred that a similar increase in emphasis on the knowledge of the legal aspects of the job was needed, along with more emphasis on the directors' knowledge of the program and schools in their system.

The criteria used did not seem particularly relevant to the improvement perceived on the part of teachers or principals. What trends there were suggested emphasizing classroom activities was associated with greater development on the part of teachers, while emphasizing broader activities such as their contribution to the board was most productive in the case of principals. Put another way, criteria seem important not in determining how well work is done, but in determining what work is done. Clearly, use of performance appraisal to steer school systems is prevalent and may be of considerable importance in helping school boards achieve their objectives. This use of criteria was particularly evident in boards with a significant number of French-language schools. In these, the use of criteria concerned with the staff's efforts to preserve the French language and culture was evident. Nevertheless, there is little evidence that the use of performance appraisals to direct a school board's activities is widely perceived.

While criteria relate to what is assessed, standards are concerned with the level of performance on a given criteria. Teachers were most likely to believe that standards were set by their appraisers, though a minority believed they were stated in their board policy. Given the difficulty of specifying standards in complex matters requiring professional judgement, such as classroom management, the former view is probably the more realistic of the two.

For principals and directors, the collaborative approach to setting standards was most often mentioned. This method parallels the use of objective-setting, an important part of which is the specification of how the achievement of an objective is to be assessed. The largest percentage of superintendents, however, stated that their appraiser set the standards. As well, many superintendents did not know how standards were set, a finding that again reflects poorly on the current practice of appraising superintendents.

Data Collection

The primary sources of information for the evaluation of staff were the evaluatee and the evaluator; this generalization holds for all four groups. The involvement of others is most common in the case of principal appraisal; often, teachers will be asked questions by a principal's appraiser(s). In a few cases, a similar process is followed in teacher evaluation, with the principal speaking with students about classroom activities. The provision of information by others in the appraisal of superintendents and directors virtually never occurred, though superintendents were of the opinion that principals ought to be involved and, similarly, directors believed that superintendents ought to be when the director was appraised.

Analysis of the impact of various appraisal practices suggests that involvement of individuals other than the appraiser and appraisee is important. For teachers, the provision of information by students was positively related to the results of evaluation; for principals, the provision of information by teachers was similarly related.

Specific notes taken by appraisers are the most favoured type of information among teachers and principals; reports on achievement of their objectives are the most favoured among superintendents and directors. All believe more use should be made of self-evaluation questionnaires, and most believe less use should be made of materials produced in the course of their jobs -- lesson plans, calendars, budgets, and the like. Finally, there is a consensus that standardized tests, records of student absenteeism, and other quantitative measures of output ought not be used in staff appraisals.

Use of specific and, to a degree, general notes made by appraisers were, in fact, positively related to the impact of the appraisal of both teachers and principals. As well, use of observation and interviews in teacher appraisal was associated with more effective appraisals. One type of information, student absenteeism records, was negatively associated with the benefits of teacher evaluation. Results for the use of other types of information were mixed or negligible.

Checklists, one form of recording information often associated with formal appraisal systems, were neither positively nor negatively related to the results of the evaluation of teachers or principals. Though the use of such instruments is not particularly widespread (they were reported by about 30 per cent of the teachers and 20 per cent of the principals), most respondents would prefer that they be used somewhat less than at present.

For most teachers, principals, and superintendents, a single individual was primarily responsible for their appraisal and collected all information. A significant minority of principals, however, were appraised by a team that visited their school and collected the data. The team approach was standard in the appraisal of directors; most often, a subcommittee of trustees took the responsibility. Also, in some cases, teachers reported that their superintendent took part in their appraisal; such a practice is most evident in special cases, as when a teacher is on a probationary contract or is under review, although in some boards superintendents evaluate all teachers. Finally, appraisers from outside the school system were not used for any appraisal.

There is some evidence that a superintendent's involvement in teacher evaluation helps to make teachers take the process more seriously. As well, there was an indication that team appraisals of principals were more effective than individual appraisals.

For teachers, the time spent to collect information was measured by the number of observations, with three or four being most common. For principals, the time spent was measured in days, with one, two, or three being most common. Both groups thought that more time should be spent, and the evaluators of both stated that more time was in fact spent than was reported by the evaluatees. As well, post-observation conferences for teachers, reported most frequently after every observation, typically lasted about 20 minutes. The time spent in the collection of information and in conferring with the evaluatee both proved important variables in explaining the effectiveness of teacher and principal evaluation.

In contrast, most superintendents and directors reported less than one day was spent in the collection of information for their appraisal, though significant numbers reported more than five days were used. Perhaps the evaluation process is less of an event and more of a continuing activity for senior administrators, with regular reports on the achievement of objectives and the like being placed on file throughout the year. If this is not the case, then one would have to conclude little time is devoted to the appraisal of the most senior staff.

Reporting and Follow-Up

Post-evaluation conferences at which the results of the entire process were presented to and discussed with the evaluatees varied in frequency at the different levels. They were most frequent at the principal and superintendent levels, and least common at the director and teacher levels. Judging from the responses to questions concerning the evaluatees' reactions to these conferences, those for teachers and principals were best planned and carried out. And, while teachers, principals, and superintendents reported the conferences provided a boost in their morale, most directors reacted neither positively nor negatively.

The existence of post-conferences for teachers (both after every observation and at the end of the process) and for principals was positively related to the effectiveness of the appraisal process. The length of such conferences is also important.

The most common type of report form at all levels was a report under several headings. The next most popular was an unstructured report. Ratings, of either specific activities or of the quality of one's overall work, were used in relatively few cases. In any case, there was little evidence that the form of the report made much difference, though the use of ratings of activities for principals was negatively related to how seriously they took the process.

Processes to appeal one's evaluation report were reported by less than half the respondents at all levels. The existence of such systems appeared important to the effectiveness of teacher evaluation, but not to that of principal. Many teachers, principals, and superintendents were unsure if an appeal process was available to them or not.

In almost all cases, one copy of an evaluation report was kept by the evaluatee and one was sent to the school board's office where it became part of the permanent record of the evaluatee. The practice of destroying evaluations after a certain number of years was rare.

Evaluation reports tended to be private matters between the evaluator and evaluatee. Exceptions occurred in the case of some principals, parts of whose assessment were shared either by the principal or the evaluator with other members of the school staff. In such cases, evaluative information concerning the principal was omitted, with the focus being on the quality of the school and opportunities for improvements. Also, for some superintendents, evaluations were shared with school trustees; this was also the case with most directors.

Follow-up to evaluation was more evident by its omission than its presence. Plans to implement suggestions made in their appraisal were reported by less than 30 per cent of the respondents in all staff categories; just 7 per cent of the directors reported such plans. Monitoring of plans that were made occurred about half the time, as did engagement in professional or academic activities to fulfil the plan's objectives. Positive feedback in the form of letters of commendation were relatively rare. They were most common among superintendents, a quarter of whom reported such encouragement. Another form of positive feedback, merit pay, was reported by 15 per cent of the directors; it was virtually non-existent at other levels. Negative sanctions in the form of being placed under review or having one's salary frozen were also very rare.

In spite of the lack of follow-through on plans, the making of plans did seem important to the effectiveness of teacher and principal evaluation. In boards where such plans were common, appraisal systems were more likely to be perceived as being effective in improving the quality of work. In contrast, monitoring plans or providing letters of commendation were not significantly related to an evaluation system's effectiveness.

Evolution of Policy

Policies for performance appraisal of all staff were developed in various ways. Superintendents, principals, and teachers (in declining order of frequency) were likely to be involved in developing teacher policies; superintendents and principals were most likely to participate in the development of principal policies; and directors alone usually developed superintendent policies. Approval for teacher and principal policies were granted by the senior administration, generally, though school boards were sometimes involved. School boards generally approved superintendent and director policies.

Teachers and principals were generally satisfied with the procedures used to develop policies, though each would prefer greater participation on the part of their own constituency. As well, principals felt teachers could play a greater role in the development of principal policies.

Directors and, particularly, superintendents were less satisfied with the process by which their policies were developed. For superintendents, the process was apparently too unilateral.

How a policy was developed was related to its effectiveness. Boards which involved teachers and principals in the development of their teacher policies were more likely to have effective systems; similarly, involvement of trustees, teachers, and principals tended to be related to more effective principal policies.

Supporting documents describing the appraisal system and workshops were often provided to assist in implementing policies. Documents on teacher evaluation were nearly universal; documentation for principal appraisal also tended to be available. However, supporting materials were far less likely for superintendent and director evaluation. As far as workshops are concerned, workshops for principals on the topic of teacher evaluation were most common, evident in about 80 per cent of the boards; workshops for teachers on this topic were not widespread, however. Principals and superintendents were equally likely to report workshops on principal evaluation; these occurred in about half the boards. Workshops concerned with superintendent appraisal were held in about one-third of the boards.

For teacher evaluation, the existence of supporting documents and workshops was related to the perceived effectiveness of the appraisal system; similar, albeit weaker, evidence suggests the same link for principals.

As suggested by the availability of documents, the specifications in the policy tended to be most thorough for teachers and least thorough for superintendents and directors. In practice, distinctions between administrative and developmental appraisals, formative and summative appraisals, and the like were not common; one policy tended to be used for all purposes. Exceptions occurred in the case of teachers on probationary contracts and, in some boards, for teachers who had been placed under review.

Impact of Policy and Practice

Moderately high levels of compliance were reported for all appraisal policies; typically about one-quarter believed policy was followed exactly and another one-half that practice was approximately as called for in policy. Significant portions of the remaining respondents were not sure. At the same time, compliance varied considerably among boards, with those reporting the highest levels of compliance for their teacher and principal policies also reporting the most effective systems.

Most effort has been committed to implementing and carrying out teacher and principal evaluations, and least effort has been made in superintendent and director appraisals. The degree of effort is reflected in resources committed, documents prepared, workshops held, skill of the evaluators, and how seriously the whole process is taken. In the case of teachers and principals, boards appear to have made a modest effort to implement their policies while the individuals involved have made a moderate effort in conducting the appraisals themselves. For superintendent evaluations, it appears that, on average, only minimal efforts have been made on both counts, and there is a noticeable dismay among superintendents concerning this situation. For directors, trustees seem serious but lack the skills necessary to do an adequate job; this may reflect a lack of effort or a lack of knowledge on the part of trustees concerning opportunities to improve the quality of the appraisals they conduct.

The majority of evaluatees of all ranks reported some improvement in their performance as a result of their appraisal; figures ranged from 60 per cent for teachers to over 80 per cent for principals. However, in all cases most of the respondents indicated that there had been only a slight improvement. Those reporting a substantial improvement ranged from a low of 3 per cent for teachers to a high of 9 per cent for superintendents (in spite of the low marks superintendents gave their appraisal process).

Those in higher positions tended to perceive more improvement on the part of their subordinates than did the subordinates themselves. For example, superintendents believed 43 per cent of the teachers showed substantial improvement. This pattern holds all the way to, but not including, the director's position. Whereas 44 per cent of the directors reported that they perceived modest improvement in their own performance, only 23 per cent of the trustees reported seeing this improvement. No directors or trustees reported substantial improvement in a director's performance. The conservative views of trustees carried over to other evaluation programs: on a 5-point scale measuring how successfully the evaluation systems for each group were achieving their goals, their responses averaged between 3.0 and 3.2, i.e., moderate success.

On other measures, such as perceived fairness of the process, skill of the appraisers, and one's attitudes after the appraisal, results were quite positive. Eighty per cent of each group indicated that the judgement of their appraisers and the nature of the evaluation process were fair. In fact, a majority of all groups except directors reported feeling good as a result of the process. While evaluation is often portrayed as a process to get people to "shape-up or ship-out", it appears that it has more the effect of a coach's pep-talk before a team is sent out to play. In fact, boards that were forced to dismiss teachers were those that displayed the least effective, not the most effective, appraisal systems.

Demographic factors may also play a role in explaining the effectiveness of an evaluation system. Suggestions have been made that the size of a school board, its rate of decline in enrolment, the age of its staff, and the like may colour the process. Analysis of the relationship of a number of demographic variables to the effectiveness of evaluation suggests that there is a set of variables associated with secondary education (percentage male, percentage with degrees, and so forth) that are linked to less effective evaluation. Whether the system of evaluation or the nature of the evaluatees accounts for this phenomenon cannot be answered with the data at hand, but it would seem logical that more experienced and more highly educated individuals would be less likely to profit from formal appraisal.

The survey results confirm the picture portrayed in the preceding chapter, i.e., Ontario school boards have been making an increasing commitment to the performance appraisal of educational staff at all levels. Considerable progress has been made, but considerable room for additional progress is available. Teacher evaluation systems are most prevalent though apparently lacking in effectiveness; principal systems are less prevalent but appear to be more effective; and superintendent systems are still less common and apparently are considered inadequate, though not necessarily ineffective. Appraising the director's work presents a special problem -- there is no formal organization to rely upon and much of the initiative must come from the director.

In this chapter, the performance appraisal practices in a large sample of Ontario boards have been described; however, links have not been drawn between the specific policies of a given board, the processes that that board has used to make and implement decisions, and the outcomes of this process. These matters are considered in the following chapter, which provides a cross-case analysis of performance appraisal in eight Ontario school boards.

CHAPTER 4

CASE STUDIES OF PERFORMANCE APPRAISAL PRACTICES: A CROSS-CASE ANALYSIS

Purpose of Case Studies

Analysis of survey data alone (chapter 3) provided a representative estimate of the perceived status of performance appraisal of those in all roles of interest. It indicated, for the province as a whole, the opinions of appraisees and appraisers about how appraisal was carried out, what types of activities led up to and followed it, and what were the perceived strengths and weaknesses of the procedures used. The focus of that analysis was on roles: teachers, principals, superintendents, and directors. Analysis of school board policies (chapter 2) provided a picture of the level of policy development in the province and the alternatives advocated for carrying out specific components of the appraisal act. By comparing the results of policy analysis with the results of the survey, we documented the similarity of policy to perceived practice.

Survey data and policy analysis data, however, are not particularly sensitive to the social/organizational context in which appraisal is conducted. Such data tend to divorce the act of appraisal from the situation in which it is conducted. Yet the situation contributes a good deal to the meaning that both appraiser and appraisee attach to the appraisal act. For example, the same procedure for appraising principals has very different meaning (impact) in a board where demotion and promotion decisions have been based, historically, on such appraisal than in a board where formal appraisal data and promotion decisions are uncoupled. One important purpose for conducting case studies of appraisal practices in eight school boards, then, was to recognize the role of context and permit its effects to surface. The second purpose was to explore, in more depth, many of the same issues addressed by the survey data. In particular, the case studies examined the perceived impact of appraisal systems and factors associated with such impact.

Three sets of questions were addressed in the case studies. First, what are the actual appraisal practices of these school boards? Specifically, what procedures are used to prepare for appraisal, to collect and analyse data, and to report and act on the data? How do these procedures differ within case boards across roles? How do procedures differ within roles across case boards?

The second set of questions was concerned with how appraisal practices come into being and evolve over time. Specifically, who participates in the development of these policies? Of what does this process consist? What steps are taken to implement the policies?

A final set of questions focussed on various manifestations of the impact of appraisal practices. How much effort is devoted to appraisal of those in different roles? To what extent are practices consistent with policies? How do those being appraised perceive the impact of such appraisal on their own performance?

These three sets of questions and the methods used to answer them are consistent with the type of research advocated by Knapp (1982) on the basis of his review of the state of the art of teacher evaluation research.

Method

Design

Case study designs have long been advocated as useful in helping to develop hypotheses, to illustrate general principles, and to better understand relationships among variables in specific but "whole" contexts. Their potential internal validity has been acknowledged, their external validity assumed to be low. But recent interest in qualitative research strategies has included re-examination of these assumptions and further refinement of case study designs. In this study, attempts were made to reflect developments in case study design intended to increase their external validity (e.g., Kennedy, 1982; Miles & Huberman, 1984). This attempt included the collection of data in each case using a common framework established prior to data collection and the codification of data from each case in common categories for analysis and reporting.

Techniques used for data collection were convergent (Campbell and Fiske, 1959). They accumulated data from different sources using different instruments about many of the same questions; questionnaires, interviews, and document analyses were employed in arriving at answers to a cluster of common questions. As well, each source of data was designed to answer some unique questions.

Recent attention has been given to the value of integrating fieldwork and survey methods (e.g., Louis, 1982; Miles, 1982; Sieber, 1973). In the present study, data collected using fieldwork methods (individual and group interviews, and document analysis) were considered to strengthen the survey results by (1) adding to the validity or "persuasive plausibility" of the survey results; (2) helping interpret statistical relationships evident in survey results; (3) helping illustrate apparent, prototypical appraisal practices; and (4) clarifying puzzling responses to survey questions.

Survey results helped to strengthen fieldwork (interview) data by (1) providing a basis for sampling case boards to be studied that would ensure variation in approaches to performance appraisal (rather than just variation in demographic characteristics, for example); (2) helping to demonstrate the generality of findings from single cases; (3) helping to verify the generality of findings common across case studies; and (4) casting new light on case study data.

Sample

The survey sample was described in chapter 3, and the sample of documents reviewed were outlined in chapter 2. Using data from these two sources, we selected eight boards which appeared to vary in level of appraisal policy development, sophistication of appraisal practices, and apparent importance attached to performance appraisal. The eight boards were also quite diverse in size and geographical location in the province. Relevant features of each board are described in the separate case reports for each (Volume 3, Appendix C).

Table 93 summarizes the number of people within each role in each of the eight boards that provided interview and questionnaire data. Note that consultants were not included in the questionnaire survey, and that no trustees were interviewed as part of the case studies.

268

Table 93: Sample in Case Boards Responding to Interviews/Questionnaires

Sampling Unit/ Role	BOARD							
	A	B	C	D	E	F	G	H
School[a]								
Elementary	4	8	11	15	10	13	10	7
Secondary	2	4	4	8	5	0	0	0
Director								
Interviews	1	1	1	1	1	1	1	1
Quest.	1	1	1	0	1	0	1	1
Superintendent								
Interviews	2	4	5	4	4	5	3	3
Quest.	2	4	4	10	12	9	5	3
Principal								
Interviews	4	4	3	5	4	6	4	4
Quest.	12	35	50	95	58	29	41	22
Teacher								
Interviews	8	7	8	15	8	12	8	7
Quest.	117	163	261	380	227	208	92	56
Consultant								
Interviews	2	0	2	3	0	0	2	2
Quest.[b]	0	0	0	0	0	0	0	0
Other								
Interviews	0	0	0	0	0	0	2	0
Quest.	0	0	0	0	0	0	0	0
Groups[c]	F P(2)	C P T	C F P T	C P Res. T	F	C T	C P(2) T(2) Tr(2)	--
Trustees								
Interviews	0	0	0	0	0	0	0	0
Quest.	3	2	2	0	2	2	5	3

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[a] Applies to questionnaire sample only.

[b] Not included in the survey study.

[c] Applies to interview sample only. Key: C=Consultants; F=Federation; P=Principals; Res. T=Resource Teachers; T=Teachers; Tr=Trustees. Numbers refer to the number of groups.

Instruments

Instruments developed to collect individual and group interview data, incorporated all classes of question raised by the survey questionnaires. In addition, questions concerning impact on specific areas of performance were developed (see Volume 3, Appendix C-I).

Analysis

Data from individual case boards were analysed separately by those who collected the data. A common framework was used to guide the analysis. The cross-case analysis described here was prepared by one member of the research team using the individual case reports, as well as the original survey data and board documents. This member of the research team was not involved in the actual writing of any individual case reports.

Results

Actual Appraisal Practices

In this section, a comparative description of the case study data is presented within a framework of performance appraisal system components and roles.

Case study data concerning each category of appraisal system characteristics for the roles of director, superintendent, principal, teacher, and consultant are presented in tables 94, 95, and 96. Each of these tables identifies the range of variation in appraisal practices and indicates the variant(s) adopted for each role in each board. These variations usually represent independent, alternative practices. However, in several cases a board was identified with more than one alternative as a way of keeping manageable the number of alternatives displayed in the tables. Tables 94, 95, and 96 also indicate when no data were available (ND) or where nothing was being done with respect to that component of the appraisal (NA); placement of a board in this category was mostly for the latter reason.

Preparation

Planning

The close involvement in and control over their own appraisal by directors appeared to have reduced the necessity for much advanced planning for appraisal activities.[1] Considerably more planning was characteristic of appraisal practices with all other roles. Such planning appeared to be most extensive with principals; in all but one board they had an opportunity to influence the nature of the appraisal, usually determining the goals that would serve as the criteria for evaluation by participating in goal-setting. Three boards provided the same type of opportunity to teachers (C, D, H) and two boards to consultants (A, D). Only in board A, where the policy was still being developed, did there appear to be little or no advanced planning for teacher appraisal; in this case, the nature and extent of the planning depended on the individual principal.

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[1] In case board E, the appraisal of the director was particularly difficult to report. The written policy had been prepared by a director who was on leave during the period of our study. The acting director who responded to our questionnaire and interview had no intention of following the policy established by his predecessor.

Table 94: Preparation for Appraisal According to System Components and Staff Role in Each Case Board

PAS Components	Dir	Supt	Prin	Teach	Cons
1. **Planning for appraisal:**					
1.1 opportunity to understand, influence	H	DCB	DCBFA	DCH	DA
1.2 effective communication about procedure		G	GE	BGE	GC
1.3 communication about procedure		EH		F	F
1.4 little or no advanced preparation				A	
1.5 no data/not appropriate	BEACD GE	AF	H		BFEH
2. **Purposes for appraisal (goals):**					
2.1 balance education, admin., policy goals	BHGE	DBGE	DBFCA G	DCFG	
2.2 emphasize education goals		A		ABH	A
2.3 emphasize admin. goals	A			A	D
2.4 emphasize policy goals			E	E	
2.5 no data/not appropriate	FCD	CFH	H		BFGEH
3. **Criteria for appraisal:**					
3.1 job description	H		A	DCAB	AF
3.2 objectives: collaboratively set	FG	DCAB GE	BGE	HGE	CH
3.3 objectives: set by appraisee alone	CB	H	DC		DG
3.4 mixed criteria/uneven collaboration	E	BE	HDF	DF	DCF
3.5 no data/not appropriate	AD	F			BE
4. **Standards for appraisal:**					
4.1 explicit, in policy	H		C	C	
4.2 explicit, set by appraiser			A	CA	
4.3 explicit, set collaboratively		BE	BFC	CBG	CG
4.4 implicit, set by appraiser	ABE	CAGH D	DFGEH	DFEH	DFH
4.5 no data/not appropriate	FCDG	F			ABE

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Purposes

The questionnaires and interviews used in the study allowed many specific appraisal purposes to be identified. These have been classified as educational (e.g., improved student learning), administrative (e.g., principal transfers), and policy-oriented (e.g., implementing Bill 82) purposes. Boards B, E, G, and H appeared to address all three categories of purpose through their director appraisal. Board A was without a formal director appraisal procedure; nevertheless, it used an informal procedure in the year preceding the study to serve the administrative purpose of determining the size of the director's salary increase.

Considerable variation among boards in the categories of purpose to be served by appraisal is evident in relation to superintendents, teachers, and consultants. Boards B, D, E, and G pursued all three categories with superintendent appraisal; board A emphasized educational purposes. Boards C, D, F, and G pursued all three sets of purpose with teacher appraisal; boards A, B, and H emphasized educational purposes while board A, with its policy still being developed, seemed to be pursuing both educational and administrative purposes. Educational and administrative purposes were served by consultant appraisal in boards A and D respectively.

All three categories of purpose were pursued by six case boards through principal appraisal. Board E emphasized policy goals.

Criteria

Job descriptions and objectives were the two criteria used in appraisal practices for all roles. Objectives were sometimes set by the appraisee alone and sometimes in collaboration with the evaluator. In no case were objectives set by the evaluator alone.

Job descriptions alone were used more prominently with those roles lower in the organizational hierarchy (board E is an exception); four boards used such descriptions as criteria for appraising teachers, two boards for appraising consultants, and one board for appraising principals. Two boards combined objectives and job descriptions in the appraisal of teachers (D and F) and three boards did this for consultants (C, D, and F). Boards D, F, and H used such a combination with principals.

Three boards employed a job description in the appraisal of senior staff (B, E, and H) and these boards used collaboratively set objectives as well. The appraisal of superintendents and directors was largely conducted around collaboratively set objectives.

Standards

Standards are the levels of performance within classes of behaviour or criteria used as the basis for judging the adequacy of an appraisee's performance. The standards used for appraisal varied in terms of how they were set -- in policy, by the appraiser, by the appraisee -- and whether or not they were explicitly identified. Considerable variation is evident in practices both within and among the case boards. Three boards used implicit, appraiser-set standards in assessing the director (A, B, and E); five boards used this practice with superintendents (A, C, D, G, and H). In boards B and E, standards were collaboratively and explicitly set for the appraisal of superintendents.

Case boards, as a whole, used all variations for setting standards in appraising principals and teachers. In three cases these standards were made explicit, but boards D, E, F, G, and H deviated from this practice for principals, boards D, E, F, and H for teachers, and boards D, F, and H for consultants.

Data Collection

Sources of Information

Table 95 presents information about how data were collected and analysed in the appraisal of all roles. When a single source of information was relied on exclusively, it was always the appraisee; this was the practice in board C for consultants, in boards A, C, and E for teachers, in boards A and E for principals, and in boards E and H for the director and superintendents, respectively. Multiple (more than three) sources of information, potentially the most expensive but reliable alternative, were adopted consistently only by two boards (B and D), although they were also used by boards G and H in principal appraisal. Two or three sources of information, including the appraisee, were used by boards A, B, G, and H for the director, boards A, C, E, and G for superintendents, boards C and F for principals, boards F and G for teachers, and boards A, F, and H for consultants.

Table 95: Data Collection for Appraisal According to System Components and Staff Role in Each Case Board

PAS Components	Dir	Supt	Prin	Teach	Cons
1. Sources of information:					
1.1 multiple, including appraisee		DB	DBGH	DB	D
1.2 several, including appraisee	ABGH	CAGE	CF	FG	AHF
1.3 appraisee only	E	H	AE	CAE	C
1.4 no data/not known	FCD	F			BGE
2. Types of information:					
2.1 multiple	H	B	DBFAH	DG	
2.2 two or three		DCG	G	CFE	D
2.3 primarily one	BE	H	E	ABH	CA
2.4 not clear	AG	AF	C		F
2.5 no data/not known	FCD	E			BGEH
3. Collectors of information:					
3.1 an individual		ADCF EGH	CFGH	DABFC EGHH	ACG
3.2 two or three people	ABEG	B	BAE		
3.3 a team	H		D		D
3.4 no data/not known	FCD				BEH
4. Time spent collecting information:					
4.1 a week or more		B	DBG		A
4.2 two to four days	H	G	EH	G	D
4.3 a day		D	CA	DFCE	
4.4 less than a day	E	CEHA	F	AB	C
4.5 no data/not known	ABFCD G	F			BGEH

Types of Information

Independent of the source, there are several different types of information that may be collected. Self-report information using interview or questionnaire instruments, direct observation of behaviour, and written records (lesson plans, daybooks, memoranda to parents, and the like) are the most frequently collected types of information gathered during appraisals. Most case boards relied on two or three such types for the appraisal of most roles. Multiple types of information were collected most frequently in the appraisal of principals (boards A, B, D, F, and H). One or several types were used by most boards for most other roles. Observation data were usually collected only in the appraisal of teachers.

Collectors of Information

Information was most frequently collected by one person in appraising most roles. Boards A, B, and E deviated most from this practice in using two or three people for selected roles. Board D used a team of people for both principals and consultants. A group of trustees in board H also collected information on the director.

Time Spent

Collecting information to appraise a single individual was often not a time-consuming activity for appraisers in the case boards; normally it took a day or less. This relatively modest amount of time frequently became unmanageable, however, when multiplied by the total number of individuals to be appraised over the period of a year. In spite of this cost, board B appraisers appeared to spend at least a week collecting information on superintendents and principals although concerns were expressed about this time in relation to principal appraisal. This was also the practice in boards D and G with principals and board A with consultants. Extensive expenditures of time were often accompanied by practices that permitted the time to be distributed over an extended calendar period. But this was not always so, as illustrated in the case of principal appraisal in board D, for example.

Reporting and Follow-Up

Nature of Report

Information about how appraisal data were reported and the nature of actions surrounding such reports are presented in table 96. Boards A, E, and G relied on verbal reports to the director, A to all but teachers, C only to superintendents, G to superintendents and consultants, and H to consultants only. Relatively brief written reports were prepared by three of the remaining boards for principals (B, F, and H) and teachers (A, E, and F). Detailed, written reports were prepared for all but the principal's role (and possibly consultant) by B and all but the director's role by D. Board H prepared such reports for the director and teachers and G for principals and teachers.

Table 96: Reporting and Follow-Up for Appraisal According to System Components and Staff Role in Each Case Board

PAS Components	Dir	Supt	Prin	Teach	Cons
1. **Nature of Report:**					
1.1 written, detailed	BH	DB	DE	DCBGH	DC
1.2 written, brief		EH	FBH	AFE	
1.3 verbal, detailed		A			A
1.4 verbal, brief	AGE	CG	A		GH
1.5 no data/not known	FCD				BE
2. **Destination of report:**					
2.1 not kept	AE	C			AGH
2.2 given to appraisee only		G	A		
2.3 filed in board office	G	DBE	DFB	DCBF	DCF
2.4 no data/not known	BFCDH	AH	GEH	AGEH	BE
3. **Report sharing:**					
3.1 discussed, possibly revised	BFGE	DBGH	DBFAGH	DCBGH	CAGH
3.2 presented and explained	AH		E	AFE	
3.3 sent written report for information			C	F	D
3.4 not shared		C			
3.5 no data/not known	CD	AE			BE
4. **Follow-up:**					
4.1 no explicit follow-up	AGE	ACEH	AH	ADCFBE	CG
4.2 plan developed, not monitored		G	CF		D
4.3 plan developed, monitored		DB	DBGE		A
4.4 no data/not known	BFCDH			GH	BEH

Destination of Report

The dominant practice among the cases studied was for the report, after discussion with the appraisee, to be filed in the board office. Board A deviated most from this practice; three boards (A, G, and H) did not keep reports of consultants' appraisals.

Report Sharing

Most boards shared reports with the person being appraised, usually offering the possibility of revision of the report if inaccuracies were identified. Board C deviated most from this practice, although it was not alone. Discussions did take place between director and superintendent but not specifically focussed on a report. This may have resulted from the still informal status of policy governing appraisal practices for superintendents in C at the time of the study. In boards C, D, and F a written report was sent to principals, teachers, and consultants, respectively, although in C principals could respond in writing to the report, if they chose. And in board D, the evaluation team met with the principals, who also were encouraged to share the results with school staff. Boards A and H presented and explained the report to the director, E to principals, and A, E, and F to teachers.

Follow-Up

Of the three types of follow-up practice evident in the case boards, "no explicit follow-up" was the most frequent practice. This was so in boards A, B, C, D, E, and F with teachers. Boards C and F developed follow-up plans which were not monitored with principals (in D, follow-up was usually the practice only when a problem was detected); D and G also followed this practice with consultants and superintendents, respectively. Boards B and D developed and systematically monitored progress with follow-up plans in the case of superintendents and principals; E and G also followed this practice with principals, as did A with consultants.

Evolution of Policy

Implementation

Table 97 summarizes the nature of implementation of activities in the appraisal of all roles in each of the eight boards. None of the boards reported explicitly addressing the implementation of their director appraisal practices. In most of the boards, the directors had been closely involved in developing the procedures, in some instances initiating such development. This obviated the necessity of formally attending to implementation. Only boards B and H reported attending to this issue for superintendents. Implementation of principal policy, however, involved at least the formal provision of information about the policy to principals (A, F, and G), except in H. In three cases (C, D, and E), limited training -- a day or two of in-service -- was provided. One board (B) provided substantial training in the form of "very thorough" workshops, although the intensity of the training appeared to vary across regions in the board depending on the initiative of the area superintendent.

Table 97: Evolution of Appraisal Policy and Practice According to System Components and Staff Role in Each Case Board

PAS Components	Dir	Supt	Prin	Teach	Cons
1. **Nature of implementation process**					
1.1 not addressed explicitly	ABDFGE	DCAF EG	H	A	CAB GH
1.2 provision of information about procedure		H	FGA	G	
1.3 limited training in use of procedure			DCE	CFE	
1.4 substantial training		B	B	DB	D
1.5 no data/not appropriate	CH			H	
2. **Degree of policy specification:**					
2.1 no policy/implicit, poorly understood	CD		A	A	BHG
2.2 implicit but well understood	AH	CH	H	H	A
2.3 explicit, briefly specified	FE	AEH			
2.4 explicit, extensively specified	BG	DBFG	DCBFG E	DCBF EHG	DCB E

Board A had not yet explicitly addressed the implementation of their teacher practices. This may have been because of the newness of the policy and its tentative status at the time of the study. All remaining boards appeared to provide information (G), limited training (C, E, and F), or substantial training (B,D) to teachers at least in the early stages of policy implementation. Substantial training in implementing policies was provided to consultants by only board D; the remainder did not explicitly address this problem.

Degree of Specification

Most of the case boards had explicit, extensively specified policies for the appraisal of all but the director. Only boards B and G had such a director policy; however, B, G, and H had no consultant policy. Brief but explicit policies were provided by boards E and F for directors and A, E, and H for superintendents. Boards A and H had implicit but well understood policy for directors, A for consultants, and C and H for superintendents; H had similar policies for all but consultants. No specific policy, implicit or explicit, was available in C or D for director appraisal or in A for principal and teacher appraisal.

Impact of Policy and Practice

Each of the three sets of variables clustered together in table 98 concerns the impact of appraisal practices. These variables range, however, in the directness with which they are estimates of actual change in performance as a consequence of appraisal practices. The set of variables that comes closest to such an estimate is the perceived "nature and degree of impact". "Degree of compliance with policy" is likely the least direct estimate of impact; high levels of compliance with an ineffective policy, for example, are not likely to influence performance much. "Extent of appraisal effort" might be considered a mediating variable plausibly exercising a strong influence on the degree of impact on performance.

Table 98: Impact of Appraisal Policy and Practice According to System Components and Staff Role in Each Case Board

Outcomes	Dir	Supt	Prin	Teach	Cons
1. **Degree of compliance with policy:**					
1.1 low level of compliance					
1.2 low, compliance in specific areas		E			G
1.3 high, deviance in specific areas	G	DG	ACBFGE	FAEH	ADC
1.4 high level of compliance	ABH	CABH	D	DCB	
1.5 no data/not appropriate	FCDE	F	H		BEH
2. **Extent of appraisal effort:**					
2.1 performance not appraised	C	F			BE
2.2 sporadic appraisal	E	E	A		H
2.3 regular, infrequent appraisal	F		DF	DCABF	D
2.4 regular, frequent appraisal	ABGH	DCABGH	CBGEH	E	CAG
3. **Nature and degree of impact:**					
3.1 negative impact on performance			A		
3.2 no perceived impact on performance	AFCE	FE	C	CBE	B
3.3 mildly positive impact		DCAG	DFEH	DAF	DCG
3.4 significant positive impact	BGH	B	BG	H	A
3.5 no data/not appropriate	D	H			EH

Degree of Compliance

The case boards demonstrated relatively high levels of compliance in implementing existing policies as applied to most roles. Where compliance was generally high but some deviance was found, the deviance could usually be traced to such time-related matters as less frequent appraisals than specified, insufficient follow-up, and too little data collection. Inadequate skill on the part of the evaluator and policies still under development were also causes of deviance from policy. Significant disagreement with the nature of the policy did not appear as an explanation of deviance from practices set out in policy. Boards E and H are exceptions in this respect: in E, particularly, policies for administrator appraisal are widely criticized; in H, old and new policies overlap in practice and have yet to be effectively combined.

Extent of Effort

Regular, either frequent or infrequent, appraisal activity was characteristic of most case boards for most roles. At least annually, A, B, G, and H appraised the director, A, B, C, D, G, and H superintendents, B, C, E, G, and H principals, and A, C, and G consultants.

Teachers in all boards were appraised regularly but frequencies ranged from once every three to once every five years. Board E was the only one which appeared to appraise teachers annually.

Nature and Degree of Impact

Negative impact on performance was reported only by principals in board A. Mild, positive impact describes the effect on performance most frequently reported by all roles in all boards. The director in B, G, and H, the superintendents in B, the principals in B and G, and the consultants in A reported significant positive impact. No impact on performance was reported by the director in A, C, E, and F, superintendents in E and F, principals in C, teachers in B, C, and E, and consultants in B.

Summary and Conclusion

Considerable variation was evident in practices associated with preparation for performance appraisal in the case study boards. This was true for all roles, even for the teacher, where recent legal disputes in the province about the status of teacher appraisal practices leading to dismissal might create the expectation of uniform care among all boards. Preparation was most systematic overall with principals and least systematic with directors.

Planning immediately prior to appraisal was standard practice for most roles. Purposes for appraisal were often balanced among educational, administrative, and (to a lesser extent) policy goals with little variation due to role. Criteria used in appraisal were usually based on either a job description, a set of objectives, or both. Standards tended to be left implicit or were viewed as something to be negotiated between appraisee and appraiser. Rarely were they made explicit in policy.

Procedures for data collection and analysis appeared to vary widely across boards and roles. Some consistency within boards was evident, however. This consistency was most evident across administrative roles considered as a group; data collection and analysis for teacher appraisal were usually quite different than that for administrator appraisal. Two factors seemed to account for this contrast: the larger number of teachers as compared with administrators and the ease with which classroom instruction, in contrast with administrative behaviour, lends itself to direct observation. More effort for each appraisee was devoted to administrator (especially principal) than teacher appraisal. This is the most obvious, single explanation of differences in the reported impact of appraisal practices on performance. Although the time formally devoted to superintendent appraisal tended to be modest and impact on performance comparatively high, many informal opportunities for appraisal were usually available to the appraisee.

For the most part, with all roles, appraisers prepared and discussed with appraisees some form of written report. It was minority practice, however, to develop a plan for following up recommendations from the report and rare, indeed, for such plans to be monitored in any systematic fashion, except in the case of principals where the practice was much more common.

Among the eight boards, actions consciously designed to implement appraisal policies were most common for teachers and principals. Policies were also specified in greatest detail for teachers and principals and least for directors and consultants.

Estimates of the impact of appraisal activities suggested relatively high degrees of compliance with policy, and activities that are regular but varying substantially in their frequency; teachers were normally appraised every three to five years whereas annual appraisal was more common practice with most administrative roles. Impact on performance was usually perceived as mildly positive for all roles; nevertheless some boards, especially B, appeared to be using a system with high impact, at least in relation to administrative performance.

These case study data warrant the following conclusions:

1. The greatest overall "success" in developing and implementing performance appraisal practices perceived as effective was in relation to school and school system administrators.

2. Appraisal practices for such administrators (particularly principals) tended to be characterized by careful preparation for appraisal, negotiated criteria and standards, substantial amounts of data collection, and regular, relatively frequent appraisal.

3. The major difficulty associated with effective teacher appraisal was the burden of the task for administrators, given the numbers of teachers to be appraised in the period of a year. The size of the burden seemed to substantially account for tendencies towards perfunctory preparation, use of standardized criteria, reliance on limited amounts of data, and relatively infrequent appraisal.

4. The most apparent deficiencies among appraisal practices, as a whole, in the case study boards were: (a) the use of criteria not explicitly linked to role effectiveness; (b) the non-specific and perhaps irrelevant feedback provided as a consequence of some appraisals; (c) the tendency to limit follow-up primarily to staff with diagnosed problems, a practice quite unsatisfactory to the large majority of remaining staff; (d) the limited attention given to planning for follow-up and, even more glaring, the neglect of monitoring plans for follow-up.

5. There was considerable variation in appraisal practices among case boards for all roles. Among these boards could be found instances of practices that likely deserve the label exemplary. Careful scrutiny of these exemplary cases would be helpful for many boards interested in improving their practices.

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CHAPTER 5

CONCLUSIONS AND IMPLICATIONS

In this chapter, the findings from the policy analysis, questionnaire survey, and case studies are integrated with the framework developed in chapter 1. From this integration comes a number of implications concerning the use of performance appraisal in Ontario school boards. This chapter does not include a summary of the findings reported in the various phases of the study; for this, the reader is referred to the overview of the study provided in chapter 1 and the summaries found at the ends of chapters 2 through 4.

Figure 1, shown on page 3 of chapter 1, depicts a systematic view of the position of performance appraisal within an organization. The left side of the figure shows the organizational structure, roles, and so forth, while the right side outlines the various stages of the appraisal process. Linkages between the two are suggested, but these linkages may or may not exist. It is the existence and nature of these linkages that are of central concern in this chapter, in which a stance is taken that linkages ought to be present. If they are not, and performance appraisal operates independently of the fundamental structure and operations of the organization, then appraisal is at best a hollow ritual. However, if links are developed, these links, if exploited appropriately, can ensure that information developed during the appraisal process can be used to make the organization more effective by changing, as appropriate, its goals, structures, and operational processes.

Preparation

The first question, then, is the extent to which the organizational goals and objectives, organizational structure, job descriptions, and employment contracts are linked to preparation for appraisals of directors, superintendents, principals, and teachers.

For directors, and to a large extent for superintendents, there was a clear lack of direction from most school boards, and from public boards in particular. Senior professional educators voiced a strong desire for the purposes of their appraisal to be linked to organizational goals and objectives, but in many cases they found it necessary to develop those goals themselves and to request concurrence from the trustees.

In addition to problems related to organizational goals, a structural problem also arose in carrying out director appraisals in that directors were often forced to initiate the process themselves. As well, the actual execution of the appraisal often revealed a lack of skill on the part of trustees: directors did not find the experience one that helped their morale, as did those in other roles whose evaluators were professional educators. This finding suggests that depending solely on trustees to carry out director appraisals is probably unwise and that another structure, perhaps involving a professional organization, professional consultants, or the Ministry of Education as well as trustees, is needed.

Since objectives-based appraisals were most frequently used with all administrators, the relationship of annual objectives to their job description and the criteria used in their appraisal is of interest. In a sense, a job description provides a list of permanent objectives to be achieved, while the objectives set for a particular year and the criteria used to assess the achievement of these objectives are the transitory aspects of the job.

Surprisingly, there was little evidence that this type of distinction was made in practice; it was not unusual to see annual "objectives" that were permanent elements of a job, with no reference being made to the job description. In other cases, there was total reliance on objectives-based appraisals with no attention being paid to the perennial aspects of a job. This problem was most evident at the superintendent level; many superintendents lacked feedback on their overall job performance.

Employment contracts apparently had more effect on the purposes of appraisal for directors, and to some extent superintendents, than they did on the criteria. For directors on term contracts or those whose contracts had merit pay clauses, renewal of the contract or the granting of increments was tied to their level of performance as judged in formal performance reviews. As well, directors and superintendents often admitted that having good appraisal reports on file offered them job security. If their contracts were terminated, they believed that they could call upon these reports as evidence that the termination was not justified. Further, if their dismissal was sustained, they believed good appraisals could serve as bargaining chips ensuring a more generous settlement.

Where contracts with directors and superintendents did mention criteria, the criteria were usually those associated with achieving objectives. Hence, the criteria would change annually or biannually as new objectives were set. Similarly, pre-conferencing for directors and superintendents was normally tied in with the process of setting objectives.

For principals the general picture of linkages between the organizational sector and preparation for performance appraisal was more positive than was the case for directors and superintendents. The widespread use of goal packages for schools would seem to assure ties to the goals and objectives of the school board and Ontario government. In most boards, the shift in the role of superintendent from evaluating teachers to evaluating schools and principals is complete, so the structural ambiguity of the relationship of the superintendency to the principal and school has been resolved. In only a few cases were the two vying for responsibility for the evaluation of teachers. As well, the developmental purposes of principal appraisal are unchallenged and detailed lists of either criterion domains or specific criteria, while not always tied formally to job descriptions, usually served to ensure broad-based appraisals, not appraisals focussed narrowly on specific goals. One problem does remain in this area, however, and that is the role of the principal in curriculum implementation and program evaluation. It appears that, at present, performance appraisal is carrying the burden of realigning the principal's role to emphasize these activities. Acceptance by teachers, and to a degree principals, of this shift in the principal's role is by no means complete.

Principals' employment contracts usually were silent on methods of appraisal, and pre-conferences, when they were held, were often tied in with reviews of the schools' goal packages.

Teacher evaluation, though the most widespread and most fully implemented of all staff appraisal programs, nevertheless showed substantial weakness. There is a fundamental debate occurring at the level of organizational purposes that is reflected in confusion about the purposes of appraisal and the criteria to be used. Teachers express the view that they should be held accountable only for using appropriate teaching techniques in the classroom; therefore, in their view, their evaluation should be limited to these and should be directed at developing greater personal and professional competence. In conflict with this view are both a holistic view that suggests teachers' contributions to the school and community are equally important and the view that teachers should be held accountable for the quality of the work done by their students.

The holistic view of education and the teacher's role in it are perhaps most widely accepted among teachers in separate schools and, especially, among francophone teachers. The latter group tend to accept that they have an important role to play in preserving the vitality of French language and culture in Ontario. Anglophone teachers in public boards are the least likely to accept the view that their out-of-classroom activities are part of their job and, hence, valid areas for their appraisal. Recent debates over teachers' responsibilities (or lack thereof) for lunchroom and playground supervision, extracurricular activities, and the like illustrate the fundamental structural and role implications of this issue.

The notion that teachers should be held accountable for the quality of their students' work has little support among professional educators at any level, but the situation may differ considerably among lay people. No data were collected from parents on this issue, but the promise of province-wide examinations by the government of Ontario suggests concern about results, not just methods, is present.

Regardless of the outcome of these debates, classroom instruction will remain a major focus of teacher evaluation and, in this area, there was a fair consensus among professional educators as to the purposes and criterion domains that should be used. The primary purpose was seen to be developmental (except, perhaps, in the case of teachers on probationary contracts or who are under review), and the criterion domains included classroom management, course and lesson organization, subject-matter knowledge, and the like. At the level of specific criteria and standards, however, considerable variation existed. The data suggested that greatest reliance was placed on the professional judgement of the evaluator rather than on any coherent model of effective teacher behaviour.

In most cases, teachers' contracts were silent on the issue of appraisal, though in some cases detailed clauses had been developed for processes to be followed when teachers were placed under review and were subject to possible termination. In these cases, the purpose of the appraisal became clearly administrative, in the sense that a decision would be made concerning the teacher's continued employment, and the process of planning for the evaluation (including pre-conferences and the like) and criteria were more thoroughly specified.

Data Collection

Data collection tended to be subordinate to criteria and potentially was affected by contracts, but not job descriptions and organizational structure.

For directors, the process of collecting data might be specified in their contract, but in most cases these matters were detailed in public policies or guidelines adopted by the board. Of the two approaches, the latter is probably preferable since public documents announce to both the public and other staff that accountability through formal performance appraisal applies at the highest level.

Superintendents generally indicated that too little information was collected and used in their appraisal; this concern probably reflected poorly developed and implemented appraisal schemes. No evidence suggested that contracts for employment dealt with this issue.

Principals' employment contracts were usually silent on the methods by which they were to be appraised, hence no indication was usually present in them concerning what types, sources, and methods of collecting data would be used. Still, it was clear that there was a difficulty in the use of teacher-provided information because principals and teachers are viewed as co-professionals who should not make negative reports on another's performance without informing that individual. The data suggested that information provided by teachers was extremely valuable in conducting useful appraisal of principals and a significant number of boards were able to accommodate the principals' professional rights with the needs for a sound evaluation. That this was possible may in large part result from the fact principals in a board are generally well organized and meet regularly, thereby facilitating their involvement in developing appraisal policies.

There was a clear debate, as suggested above, as to what types of data should be used in teacher evaluation. Where boards insisted that data be collected on out-of-classroom activities, this was done and teachers were appraised accordingly. As far as data on classroom activities were concerned, the use of information collected from students was opposed by most teachers; still, evidence suggested that, when used, it led to better appraisals. Clearly, the type of information collected from students can differ; data suggested that reviewing students' work and speaking to them about the class and their progress can yield valid data and are not opposed by teachers to the extent that the use, say, of evaluation questionnaires completed by students would be. At present, then, the effect of contracts on the sources and types of information used is very small, but there is a potential for restrictive clauses that would weaken effective appraisal methods at the school level.

Reporting and Follow-Up

The most visible link between the organizational side of figure 1 and reporting and follow-up were contract clauses that required notification, and perhaps involvement, of federation representatives if teachers (or principals) were subject to possible dismissal. In this case, appraisal policies usually called for thorough reporting and follow-up, including the provision of assistance to improve the person's work.

Analysis suggested that post-conferences and the making of plans were important features of an effective appraisal system. However, there were no structural links in most cases to ensure that the results of one appraisal would be used in a subsequent appraisal or to assess the effectiveness of achieving system goals, except in the case of directors and sometimes superintendents. In most cases, evaluation reports simply went on file.

Evolution of Policy

Formal reviews of performance appraisal policies were notable by their absence, especially for teachers. Policies were reviewed, it appeared, only when appeals, grievances, and lawsuits were filed and boards were forced to conduct reviews to prevent future problems. Principals seemed more able to influence their appraisal and the considerable effort put into the process of principal appraisal seemed to minimize the demand -- or need -- for changes. Nevertheless, though, there seemed to be a general agreement that the process could be improved by inclusion of more sources of information, including self-evaluation. Policies for the appraisal of superintendents and directors are still evolving. In the case of superintendents, the high level of discontent expressed about existing systems suggests they will try to negotiate changes.

While no consensus existed among those surveyed as to the advisability of separate appraisal systems for developmental as opposed to administrative purposes, our own assessment is that the legal problems associated with any decision to dismiss, demote, or otherwise take action that results in a loss to the employee virtually mandates that separate processes be used to ensure that valid, reliable data are collected and due process is followed. As well, the importance of having clear purposes for evaluation was evident in the analysis of teacher and principal systems. It is much easier to convey purposes clearly if they are few in number and do not harbour internal contradictions; whether such procedures are present in a single policy or two different policies is unimportant.

Reviews of staff evaluation policies, then, are most likely to effect changes in the policies themselves or employment contracts. Indeed, if issues are not addressed by means of routine policy reviews, they will probably be addressed at the bargaining table.

Impact of Policy and Practice

The most important link between performance appraisal systems and the organization and its operations is the impact appraisal has on job performance. At best, this impact was modest at all levels, being highest for superintendents and principals and least for teachers and directors. In most cases, morale was improved and a few new ideas were conveyed; as well, data suggested that the very existence of an appraisal system tended to make individuals perform nearer to the limits of their ability than they might otherwise have done. Evidence suggested that, while there was a relatively high level of compliance with most policies, only modest effort had been made to implement the policies. Greater effort, it appears, is needed if high levels of compliance are to become the norm. That compliance with policies was associated with effective evaluation programs suggests that the impact of appraisal on job performance can be increased.

In some cases, evaluation clearly affected individuals' objectives. This steering effect was most noticeable among teachers, who were often led to place more emphasis on their overall performance rather than just their classroom performance. Exceptions, of course, occurred; some teachers reported the opposite effect. Clearly, there was a question of the proper balance between the two that differed in different settings and with different individuals. Principals, too, reported changes in personal and school objectives as the result of appraisal.

If performance appraisals are used to identify staff for dismissal, then staff associations might bargain for inclusion within the contracts of clauses that would weaken the use of performance appraisal for this purpose. From the public's view, such action probably would be considered a negative effect of performance appraisal. However, the evidence suggested that an effective appraisal program results in fewer dismissals and appeals, so this type of effect would be less likely in boards with effective systems and most likely in those with inadequate systems.

Job descriptions tend not to be affected by the results of appraisal even when it is evident that the appraisal system is being used, as it is in the case of principals and teachers, to encourage activities not fully agreed to by all parties. It would seem there is a need for job descriptions to be altered, either within board policies, employment contracts, or even provincial legislation, to remove this burden from the appraisal process.

Finally, performance appraisal at the director's and, to a degree, superintendent's level is directly linked, via the use of objectives, to the school board's goals and objectives. Yet, evidence suggested that the setting of goals at the start of the director appraisal process had a greater effect on the board's goals than did the results of appraisal, per se.

Summary

Taken together, the evidence suggests that performance appraisal systems are inadequately linked to the organizational structures and processes within school systems. The strongest linkages are between organizational goals and the appraisal of directors and superintendents, between the principals' job descriptions and criteria for appraisal, and between principals' appraisal reports and their job performance. The weakest linkages are between the teachers' job descriptions and criteria for evaluation, and between the evaluation report for teachers and their job performance.

The pattern of pre-evaluation conferencing, objective-setting, post-evaluation conferencing, and making of plans seems strongly related to performance appraisals that affect job performance and individual objectives positively. Extension of such a pattern to all roles seems advisable. As well, formal assessment of appraisal systems to monitor their effectiveness seems logical; the current pattern of reviews in response to problems has little to recommend it. Finally, attempts to define the roles of teacher and principal so that they align more fully with the expectations as revealed by the criteria used in their evaluation are needed. As it stands, performance appraisal is being used as an instrument to bring about changes in practice that do not have full legitimacy in the eyes of teachers and, to some extent, principals. Job descriptions and, perhaps, contracts, laws, and regulations need to be changed to clarify the community's expectations for its schools and their staff.